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ABSTRACT

The results of three week-long seminars attended by the decennial Academic Administration Internship Program class are presented in digest form. Major themes in higher education were surveyed to help the fellows establish agendas, and emphasis was narrowed to permit concentration on fiscal matters and statewide coordination, as well as higher education policy making at the national level. At each seminar, major figures in higher education served as faculty. Summaries of the sessions are given which deal with academic administration, presidencies and deanships, teaching and the curriculum, higher education politics and policies, and special topics, such as legal issues, collective bargaining, state coordinating agencies, assertive leadership, and financing. (LBH)

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HIGHER EDUCATION
Condensed

THOMAS M. STAUFFER
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EDUCATION & WELFARE
NATIONAL INSTITUTE OF
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HIGHER EDUCATION CONDENSE

Thomas M. Stauffer
Editor

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One Dupont Circle
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PREFACE

Since its founding in 1964, the Academic Administration Internship Program (AAIP) has shared its output with a wider audience than the approximately 40 American Council on Education Fellows in Academic Administration participating in each AAIP class. For example, besides the AAIP Newsletter distributed to alumni, Current Issues in Higher Education: An Annotated Bibliography of AAIP Working Reunion Papers and Papers by ACE Fellows in Academic Administration and several other bibliographies now have a wide circulation. Also, the Leadership Development Consultation Service, an extension of the AAIP. assists institutions, state systems, corsortia and organizations wishing to establish their own programs to prepare faculty members and junior staff for higher level leadership.

This digest continues the dissemination of results. During the 1974-75 academic year, the decennial AAIP class met in three week-long seminars. In September, 1974, a seminar officially opening the year was held at Fordyce House in Saint Louis; a mid-year meeting convened at the Williams Village Conference Center in January, 1975, in Boulder, Colorado; and a final conference met in May at the National Center for Higher Education in Washington, D.C. At the September seminar, major themes in higher education were surveyed to help the Fellows establish agendas as they embarked upon internships with senior administrators at institutions nationwide. At the Boulder meeting, the emphasis narrowed to permit concentration on fiscal matters and statewide coordination, while at the May seminar, the emphasis was on higher education policy-making at the national level. At each seminar, major figures in higher education served as faculty.

Prior to each seminar, selected Fellows were invited to serve as rapporteurs, writing summaries of the sessions. The precise format of each precis was left to the rapporteurs' discretion, although final approval was retained by the editor. Rapporteurs were required to submit their drafts to their speaker(s) for correction and clearance before being submitted to the Council. Final editing at the Council was held to a minimum so as to best reflect the rapporteurs' impressions of the sessions.

Not all sessions and scheduled activities at the Saint Louis, Boulder, and Washington seminars are summarized in this compendium. Several sessions, for example, concerned matters primarily internal to the AAIP, while others were not amenable to summarization or were not received by stated deadlines.

This compendium is the first in an annual series. Users comments are invited.

Editorial assistance is acknowledged from Cynthia J. Smith, Assistant Professor of English, Wesleyan University, and Sylvia W. Galloway, Senior Staff Assistant, American Council on Education.

Thomas M. Stauffer
Washington, D.C.

August 29, 1975

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A. Academic Administration

Precis # AI

Title: Reflections on Higher Education

Speaker: Terry Sanford, President, Duke University

Seminar: Washington, D. C.

The theme of President Sanford's invited address was administrative leadership. He drew upon his own administrative background in the educational and political sectors of society and his own personal style of relating to people to set forth basic characteristics of a successful administrative leader in higher education.

1. The successful administrator must have a personal sense of direction. You much know where you want to take your institution and why you want to take it there. In part, this calls for the administrative leader to come to grips with himself and his own personal administrative style.

2. The successful administrator must establish an atmosphere that will spawn creative ideas, an atmosphere that will allow for a free exchange of ideas regardless of how absurd the ideas may seem at the moment.

3. The successful administrator selects the most capable people available to assist in guiding the institution. Ideally, those selected should be better than the chief officer of the organization. After the selection, he grants them the freedom to add to the administrative effectiveness of the institution. When they make mistakes, he backs them up, but, most importantly, he gives them license to improve the institution.

4. The successful administrator must be a vibrant individual that knows his own style and speaks for himself. His own personal style is used to accomplish the objectives that have been established for the institution.

5. The successful administrative leader must be decisive. After all the data are collected, someone has to make the decision. This decisiveness is not to be confused with being highhanded or abrupt.

6. The successful administrative leader must be communicative. This implies more than the imparting of information. The communicative leader listens and knows communication is a two-way proposition.

7. The successful administrative leader must be an empathic, warm and compassionate person. You have to be able to relate to people. You must remember that in the final analysis, you can interpret the rules of the organization to the end that the dignity of individuals within the organization and the purposes of the institution are both preserved.

8. The successful administrative leader must establish himself as a credible person. This is not to say that you "give the student everything," but, rather, that you trust them, you listen to them, and you don't keep them at bay.

9. The successful administrative leader listens to his faculty but still assumes responsibility for final decisions.

In response to questions from the floor and in his closing remarks, President Sanford spoke of his personal philosophy of letting people develop, and a genuine lack of concern for being an "elitist" in its purest sense. He feels people should be given the opportunity to contribute to society in whatever area--the arts, the humanities, public affairs, science or medicine--and to get from society that which will lead to a life of fulfillment.

President Sanford feels one of the major problems facing higher education is the survival of the present dual system in higher education. He feels that part of the survival of the dual system is dependent upon government support to students rather than support to institutions. Aid to higher education in this manner allows any capable person the opportunity to attend school wherever the individual might desire.

Rapporteur: Robert N. Sawyer

Precis # AII

Title: Conflict Resolution and the Academic Administrator

Speaker: William J. McGill, President, Columbia University

Seminar: Saint Louis, Missouri

There is an administrative discipline which might be called conflict resolution, and individuals contemplating administrative careers should know about it. Conflict resolution is important and critical in administration, and yet very little information is available concerning either the theory or the art. If an individual wants to be a president, that individual must be resigned to the fact that anxiety and conflict will be an everyday part of his life. Some element is present all the time and one must learn to cope with this tension, without displaying his or her own fears and emotions. Although this aspect of the president's life is not generally discussed during the interviews, continuous exposure to anxiety and conflict goes with the high salary and the fancy house. You must learn as you go, and you may have no previous preparation. One may read everything available, but the reading provided mostly by social scientists who have been observers rather than participants will probably not agree with the actual experience.

In one's little experience with conflict resolution, the essential requirement is to survive. Make up your mind what you're going to do, don't yield, don't talk nervously about it, and get it over with.

Militant, angry crowds generally commit injustices against individuals. The job of the administrator is to show them their injustices. During a confrontation, talk with the crowd about the problem to get past the initial urgency of the situation, and then work it out. Experiences in conflicts help one to discipline one's own fears and enables an individual to learn how to deal with the confrontation. Reason things out, and don't fall back just because the opposition turns loose the rhetoric. Your adversaries are disciplined and always come on tough in order to get concessions. When you need to talk, talk frankly and be responsive to the needs of others.

The most effective tool an academic administrator has in order to get support for his decisions is a reputation for being tough, fair and reasonable. You need to develop a series of steps, both public and theoretical, to gain such a reputation. Otherwise, you will not get the respect you need from the opposition. There is no way to avoid opposition. It is built into the tensions that society generates. The other side is prepared, and you must be also. One needs to lay out the immediate objectives, as well as the fall-back position during the give-and-take, and do this ahead of time.

Two goals to keep in mind include trying to establish the principle that everybody wins (face-saving), and trying to diminish the anguish and rhetoric by extended discussion. A good time to negotiate is late at night. Stay there at the table until the other side is exhausted. Then give a compromise at 2 a.m. and the chances are it will work. The final part in negotiations is when one comes to understand with some sympathy what is going on with the other side, flipping an internal emotional switch and identifying with them.

The basic principles of conflict resolution include:

(1) Achieve a basic posture that generates respect, by being tough, fair and reasonable. One must live through several confrontational experiences to develop this reputation.

(2) Achieve a visible presence on campus, with people seeing you as a human being, as well as seeing how you behave in conflict situations.

(3) In initial bouts with conflict, exude confidence and give the impression that you believe you are handling things correctly. Develop a mystique, which will help you both within and outside the university.

(4) Negotiate easily but toughly. Ensure easy access to people who want to see you. Be easy to talk to, but tough to negotiate with.

(5) Be as good as your word. Hammer out an agreement, make sure it is clearly understood, and then live by the commitment. There should be honor in adversary conflict.

(6) Learn to do your dirty work personally. Do not ask third parties to deliver bad news. People learn to accept bad news if you are the one who gives them both good and bad news.

Ninety percent of a president's time is spent in some type of negotiation. Be prepared to deal with anxiety and conflict, for there is something enormously challenging about each new situation. There appears to be something therapeutic about involvement in conflict situations, and one comes to find it profoundly rewarding to be able to deal with and handle these situations. It is personally challenging to discipline yourself in adversary conflict and to win. Furthermore, education will be in difficult straits if someone doesn't stand and resist the erosive pressures of society. Remember that you stand for the institution of the university. No one will forgive you afterwards for yielding under pressure.

Rapporteur: James L. McBee, Jr.

Precis # AIII

Title: Effecting Institutional Change

Speaker: Harry A. Marmion, President, Southampton College, Long Island University

Seminar: Saint Louis, Missouri

Dr. Harry A. Marmion is currently President of Southampton College of Long Island University and the former President of Saint Xavier College in Chicago. In this presentation he compared, through case studies, the ways in which he was able to effect institutional change in these two institutions, both having similar problems of being faced by financial crises and lack of direction.

Marmion accepted the Presidency of Saint Xavier during the summer of 1969 when in his opinion "the institution was within 90 days of closing." He indicated to all from the beginning he would be a dictator, making fast and snappy judgments and freezing the budget. The emergency demanded these actions.

At the first meeting with the staff of Saint Xavier he set up four goals: double enrollment in four years, raise three million dollars, change college governance, and get into the mainstream of the community. Later Marmion added the goal of curricular change. Marmion indicated that he would serve four years only. Setting out to get control of the institution, he moved it from a single-sex conservative one to a co-ed institution, a move which was not well accepted by a number of people within and without the college. To change the image of the institution, he widened contacts with the community. A state of frenzy was created by dramatic cutbacks in staff, by suggested curricular changes, and by the addition of evening credit and adult education courses.

These circumstances led to his departure after three years rather than the four years anticipated, but by this time the institution was in the black and well on its way to recovery.

Since this dramatic three year period during which survival was the key issue, Saint Xavier has become healthy and more relevant to the community. The budget doubled from 1.5 to 3.0 million dollars and the deficit went from $481,000 in 1969 to a $140,000 surplus in 1972. Faculty size decreased but average salaries increased significantly.

After leaving Saint Xavier, Marmion became President of Southampton, a private, rural, nondenominational college which is part of a multi-campus university. When Dr. Marmion arrived there, there was no flexibility in the budget and the enrollment had dropped from 1600 to 900. Thus, he set out to address the issue of enrollment. Great mileage was obtained from the master plan for building utilization which became the agent of change in reducing the number of majors from 28 to 14, but really only six are "marketable" (art, natural science, business, teacher education, social science, American studies). By narrowing the curriculum, focus was obtained and it was easier to develop excellent programs and advertise them as well. Enrollments in 1973-74 and in 1974-75 were 1,000 and 1,218 full time students respectively.

Marmion indicated that when he arrived the college was overadministered and undermanaged. He set out to correct this. Divisions now concentrate on these functions: academic, administration, students, long-range planning and institutional research.

Quality is of utmost concern. Institutional financial aid dollars are now allotted only for merit. In 1973-74, 100 Presidential Scholars (half tuition) were admitted from students in the top 10% of their high school classes. Tenure was not granted automatically as before; mid-career training has been stressed. Parameters for faculty leave have been established. The morale is reasonably good due in large part to enrollment increases.

The deficit has increased since his arrival in 1971-72 from $56,000 to $360,000 in 1973-74. In 1974-75 the projected deficit is $191,000 and by 1975-76, the school should be in the black.

Marmion believes that much of management is common sense, that flexibility is essential and that it is important for an administration to agree with the purpose and plan of the institution. It is clear that he believes Southampton will be a first-rate private institution and that this status will be conferred relatively soon.

Rapporteur: Mary Ann Hater

Precis # AIV

Title: Main Issues for Academic Administrators

Speaker: John A. Peoples, Jr., President, Jackson State University

Seminar: Saint Louis, Missouri

Focusing on nine critical educational issues, Dr. Peoples attempted to present problems for consideration by the Fellows. Specifically, the issues were:

1. The financial crunch.
2. Career education.
3. Town-gown relationships.
4. Collective bargaining.
5. Tenure questions.
6. Development of new student constituencies.
7. The education of minorities and women.
8. The situation of the historically black colleges.
9. Academic leadership.

The need for increased financial support in the face of decreasing enrollment and at a time of entrenchment by boards of trustees and state legislators, was for Dr. Peoples the paramount issue. He pointed out that funds have been allocated traditionally on a quantitative basis; however, administrators must now expect to equate quantity with quality. He cautioned administrators to develop a strong rationale for increased financial support in the face of what he called a taxpayers' revolt. As a result, teaching must become more effective and academic administrators must be more responsive to declining enrollments and inflation.

He next challenged the allegation that colleges have to function in today's marketplace. Presently, only community or junior colleges are significantly involved in vocational or career programs. Dr. Peoples pointed out that one significant

area of this type of development in senior institutions has been the establishment of cooperative education programs, many of which have evolved because of Federal government support.

The problem of community relationships for a college was Dr. Peoples' third topic. He addressed himself to the stereotype that can be created by both sides. He emphasized the need for having a faculty involved in community programs and he pointed out that state funded institutions must be concerned with the reactions of state and local politicians.

Collective bargaining was the fourth area of discussion. Dr. Peoples called to the attention of the group that the number one priority of Mr. Albert Shanker recently elected President of the AFT, was the organization of college faculties. Following his comments concerning the AFT, Dr. Peoples examined the relationship between the AAUP, the NEA, and the AFT, explicitly pointing out that the NEA is now moving closer to the AFT and its philosophic concept of unionization.

Today, in academic units, serious questions are being raised about allowing automatic tenure on the basis of seniority and establishing quotas in educational institutions. Dr. Peoples pointed out the possibility that state legislators may in many cases grant tenure by legislation. He also raised the question as to whether or not administrators should receive tenure and the ramifications of such an issue.

In the face of financial burdens placed upon higher education, Dr. Peoples explained that it behooved colleges to develop a series of new student constituencies through a variety of programs. In particular, he expounded upon the need for continuing education in both day and evening programs. The concept of the weekend college was explored as a means of developing new student relationships and finally the theoretic and practical aspects of universities-without-walls was discussed.

Dr. Peoples also discussed equal opportunity and equal access to education for minorities and women. He pointed out that equal opportunity meant nondiscrimination in education in educational practices while equal access was going at least one step further in establishing affirmative action policies in order to facilitate involvement of minorities and women in the educational process. He declared that a whole host of steps must be taken to restudy college rules and regulations in order to allow equal access for minorities and women.

Dr. Peoples' comments on minorities and women led to a discussion of the problems facing historically black institutions. He examined the historical legacy of black educational institutions in this nation, more particularly discussing the developments in black institutions during the last decade. He discussed the reasons why these institutions should be supported and spent a good deal of time discussing the problems caused by Federal government mandates, particularly HEW rules and regulations concerning integration.

His final point concerned the relationship between theory and practice of academic leadership. He addressed himself to the question: What is leadership? What is the relationship of academic leadership to organizational structure? What is the relationship between goals and objectives based upon complete and factual data?

Rapporteur: Joseph R. Fink

Precis # AV

Title: Leadership and Academic Administration

Speaker: John R. Silber, President, Boston University

Seminar: Saint Louis, Missouri

On the individual level, it is very difficult to find an administrator who is both a good theorist and a good practitioner. On the operational side, it is very difficult to perfect ideals. Drawing from this later point, Silber suggested that all academic administration is politics and therefore all academic administrators must be involved in the art of compromise. There is always a difference between a plan and the reality in the real world. Universities and colleges provide no exception to this rule.

Several additional points were drawn from this initial discussion. The ideal academic administrator should be both an educator and a manager -- but first and foremost an educator. In fact Silber suggested that academic administrators should have backgrounds as academics so that they can understand better their faculty and their concerns. He suggested too that there are dangers inherent in the managerial perspective as it tends to incorporate a reductionist perspective. A reductionist perspective tends to permeate academic institutions -- as well as society -- in the form of numerology. Very often incomplete or misleading information is generated as a result of the reductionist mystique. When this condition arises it becomes very difficult to make the "correct" decisions. More complete information is needed by academic administrators if they are to provide academic leadership for their institutions.

Silber also raised the question of goals and mission when discussing leadership. He believes that the goals of an academic administrator should be very clear and that a well thought out mission for himself and for his institution should be outlined very early in his tenure of office. Without a clear set of goals and a mission, an academic administrator cannot really be too effective in leading an institution. As an additional point, he suggested that a good academic administrator must have courage -- courage being defined as knowledge of what is to be feared and what is not to be feared. Only if he can pursue his goals and develop a mission for himself and for his university without fear can an individual expect to succeed as a leader in academic administration.

Rapporteur: Marian L. Palley

Precis # AVI

Title: Personal Dimensions of Administration

Speakers: Dale Purcell, President, Westminster College
Mary Lou Purcell, Chairman, Department of Family and Community Life, Stephens College

Seminar: Saint Louis, Missouri

Dr. and Dr. Purcell brought the lived experience of two individuals deeply involved in academic and administrative careers to bear on their very practical discussion of the "Personal Dimensions of Administration" through an immediate emphasis on a shared enjoyment of each other's profession and a strong declaration of the importance of personal life and family situation as contributing factors to good administration.

Dr. Dale Purcell delineated his advice by means of several recommendations: urging potential administrators to be sure of the parameters of the positions under consideration. to clarify their view and that of the employer, and never to accept a position where they did not have confidence in the person for whom they would be working. He urged them to have sufficient self-confidence to create the structures that would liberate them to do their best work, to be affirmative in their attitude and then negotiate those structures with adequate consideration and attention to all aspects of the position, including personal and family needs.

With strong advice to potential administrators "to function in the present," Dr. Purcell acknowledged the necessity of "thinking future" without becoming over-involved in long-term plans. He encouraged ACE Fellows to develop those proper personal and professional relationships which avoid both remoteness and overfamiliarity, which consider the legacy of the institution but still allow for the trying our own ideas during the internship year. Finally, Dr. Purcell noted that administrators must consider several publics (i.e. faculty, students, townspeople, trustees, and donors) and that each public has its peculiar expectations of the administrator.

Dr. Mary Lou Purcell emphasized that in a double professional situation there needs to be a definite decision about the "his-hers-ours" professional commitment. In their situation, each is supportive when the other is "on stage." Pointing out that a personal set of values dictates what a person does and aware of the fact that each individual develops a personal style of operation, she urged that this style be carefully planned, operative from the beginning, and honestly reflective of the person. In a very practical vein, Dr. Purcell urged that administrators make specific provision for personal and family time and suggested a team approach in the family situation with shared responsibilities. The team approach implies a cooperative, non-competitive setting for all professional and personal activities. She counseled that an administrative post is often a lonely one and that administrative partners need to draw upon their personal resources rather than expect to make many close friends. A sense of humor with willingness to put others at ease helps create an atmosphere of good will. "Don't take yourselves too seriously," she admonished.

Addressing the topic of the woman as administrator, Dr. Purcell again emphasized the importance of being yourself, of femininity, fairness in actions, clarity in expectations, and a concern for being human in each situation.

Generally, Dr. and Dr. Purcell cautioned future administrators to order priorities, to try to foresee the consequences of their actions and to maintain a balance between the personal and professional demands of their lives.

Rapporteur: Sister Marie Immaculee Dana, R.S.M.

Precis # AVII

Title: Financial Development of Private Institutions

Speaker: John L. Blackburn, Vice Chancellor for University Resources
University of Denver

Seminar: Boulder, Colorado

Dr. John L. Blackburn described the development of a new concept in the management of institutional resources. By having asked the question: how can the university maximize the use of both its human and fiscal resources, Blackburn suggested an answer: pull together a number of functions normally scattered throughout the university into one office. As the first holder of the position of Vice Chancellor for University Resources, Blackburn is responsible for coordinating the activities of admissions, financial aid, student affairs, housing, food service, counselling and placement, student health services, development, alumni, radio station, and public relations.

Except for Fairleigh Dickinson University, the University of Denver is the only institution to have pulled the myriad functions regarding resources into a single office. Through the "systems approach," Blackburn recognized that institutional resources are inter-related. Admissions, for example, is related to public relations and financial aid, and ultimately to alumni and development. Indeed, Blackburn conceptualizes a continuum from prospective student, to student, to alumnus, to financial supporter of the institution. This continuum concept is aided by an integrated computer system which updates a student's master file as he or she progresses from prospective student to financial donor.

Although the concept is a sound one, its implementation has not been entirely without difficulties. When Blackburn assumed his duties he discovered that personnel in one area did not care to know what personnel in another area were doing. He also discovered that professionals in one area, for example development, were more interested in talking to development personnel at other institutions than to other departments at the university. One of Blackburn's major tasks is to get people to think in terms of the functions of other university resources.

Wanting to learn about financial development Blackburn interviewed a number of people, hired a development director, and contracted for a consultant. When the consultant told him little that he did not already know, Blackburn decided to test his own hypothesis. Reviewing the pattern of giving over the last 10 years in unrestricted funds, he discovered that with the exception of special drives the amount given each year was fairly constant regardless of the personnel in the development office.

He concluded that development is a total institutional endeavor requiring the cooperation of many people and taking, in the case of estates, many years of cultivation. He further concluded that prospective donors would rather talk to a Dean or Vice Chancellor about a project than a member of the development staff. The

role of the development staff is to provide the necessary background work and to manage the on-going activities. Blackburn feels that each school of the university should have its own development officer but that each of them should be on his staff reporting to him. Unless one person coordinates all the development effort, fiascos can occur like the time that two people from the university called on the same foundation on the same day for two different proposals without one knowing the other was there.

According to Blackburn, the functions of the executive director of development are: (1) to articulate the university's programs and needs, (2) to write a decent letter, (3) to understand the strengths throughout the university, and (4) to be capable of talking to foundations. Ideally, the director should hold a doctorate.

Blackburn is attempting to organize his office so that there are three or four executive directors reporting to him since at present, twenty-six functions are reporting to him. Each executive director will be responsible for one functional area and for briefing the other executive directors on his activities.

Blackburn's contribution to the management of institutional resources was to create what in industry refers to as a general committee. There are now at the University of Denver, several task forces working on issues that cut across all the departments reporting to Blackburn. One example is the Center for Prospective Students which relies not only on the people reporting to Blackburn but also on faculty and students. Another task force is looking at the issue of retention which cuts across all areas of the university. Blackburn is not sure these task forces will work, but he does not intend to make them permanent. They will come into existence as issues develop and will dissolve after mechanisms have been worked out or the issue no longer requires immediate attention.

Rapporteur: Michael Massouh

Precis # AVIII

Title: Administering University Based Research

Speakers: Duane C. Spriestersbach, Vice President for Educational Development and Research, University of Iowa
Linda Wilson, Associate Vice Chancellor for Research, Washington University

Seminar: St. Louis, Missouri

Research policy should be addressed at the highest administrative levels and should not be derived in an ad hoc manner. Five principles regarding university research administration are:

1. The institution's involvement in research is dependent on the expectations of the institution, its faculty, students, and in some instances its board and/or the legislature.

2. Support services for a university's research involvement may operate in either centralized or decentralized mode, but should be coordinated for all parts of the university at the central level.

3. Administration of university research is closely related to academic administration. Sound business practices are also essential. Therefore, academically administered research must have excellent business advice!

4. The institution must take care to determine its own research policy which is not based simply on where the dollars are, but rather on what is consistent with the institution's objectives and long-range planning.

5. The university should, for example:
   a) arrive at a viable position on whether or not research will be treated as a part of the "regular" faculty load
   b) be cognizant of the differences between the humanist and the physical science researcher
   c) be aware of the teaching - research polarity
   d) recognize the heavy responsibility of federal regulations which accompany grants and contracts

Five general areas which must be addressed by universities in administering research include:

1. Policy determination

   The University should determine the place of research within the institution and delineate the criteria to be met in authorizing proposals and accepting funding; policies which facilitate the development of new ideas and encourage the teaching - research interaction should be derived. Careful attention should be given to potential threats to academic freedom and to the potential for conflicts of interest.

2. Internal transactional matters

   The University must arrange for responsible proposal management, accounting practices, budget management, space and resoure allocation, property management, data systems, etc.

3. External transactional matters

   The University must assign responsibility for interactions with the external public and private agencies to assure proper cost recovery, accountability (financial and performance audits). The institution may also need to establish guidelines for faculty consulting, patents, copyrights, protection of human subjects, humane care of laboratory animals, etc.

4. Non-transactional matters within an institution

The administrators charged with responsibility for research will need to be aware of the various political forces within the institution. They must understand the internal organization of the institution, the characteristics of the organizational units and the nature of the interactions among them. They must also be cognizant of developments in the area of personnel administration, planning, resource allocation, and the relationship of research to graduate and undergraduate education.

5. Research development

Research administrators should be prepared to assist faculty in finding research funding opportunities, keep abreast of the faculty research interests, act as liaison with sponsors and/or legislative representatives, provide service on peer group policy and evaluation bodies where qualified to do so.

Anyone considering a position in research administration might explore the following areas:

1. Who sets policy and how is it implemented?

2. What is the relation between teaching and research at the institution? Remember that if research is not integrated with teaching, teaching decisions may conflict with research decisions, not just in time commitments, but also in commitments to library acquisitions, laboratory developments, etc.

3. What research is being done? Why are researchers doing what they do?

4. What is the focus of the institution and how are priorities set?

5. Evaluate extramural versus internal funding and its impact on "hard" versus "soft" money.

6. How does one support the "non-earner"? Implications?

7. How does one eliminate the bureaucracy to facilitate faculty research?

8. Which feed-back loops - the Business Office, the Grants/Contracts Office, departments versus schools/colleges, research commitments and/or support mechanisms - are the most crucial?

9. Does sufficient staff exist to handle the daily routine, so that you are free to consider long-term policy decisions that affect an entire institution's goals and/or directions?

Rapporteur: Norman P. Lasca

Precis # AIX

Title: Administering the Business Affairs of Colleges and Universities

Speakers: James W. Stevens, Vice President for Finance, Knox College
Fred S. Vorsanger, Vice President for Business, University of Arkansas

Seminar: St. Louis, Missouri

Mr. Stevens and Mr. Vorsanger represented very different kinds of institutions with very different kinds of fiscal status. Mr. Stevens is associated with Knox College, a relatively small, private institution which is dependent upon endowment and has had an operating deficit. Mr. Stevens' primary concern has been budgeting so as to remove the deficit, associated with cutting costs in appropriate areas of operation. He described an important element of his operating style as the element of "tension," i.e., some element of "adversary relationship." The purpose of this stance is the generation of careful evaluation of budget proposals. Mr. Vorsanger, on the other hand, is associated with the University of Arkansas, spending about half his time as Systems Officer for the larger state system and about half his time as chief fiscal officer of the Fayetteville campus, a system which he described as a "Comprehensive University." The institution is large, and public, and fairly affluent which enables Mr. Vorsanger to maintain a staff of about 30 as opposed to Mr. Stevens' staff of seven (two of whom are faculty volunteers). Mr. Vorsanger described his operating style as cooperative and open.

Mr. Vorsanger described the structure of his office as including responsibility for the following: (1) the office of Fiscal Affairs with responsibility for business management (residence halls, student union, etc.), purchasing, physical plant operations, the controller (accounting, reporting); (2) the office of Budget Development and Analysis (This office has established a Budget Committee consisting of the Academic Vice-President, the Deans, faculty and students. The committee's function is the development of a budget and its functions are conducted openly to minimize competition among operating areas.); (3) the office of Facilities Planning and Development; (4) the office of the Bursar (treasury and investment); (5) the office of Internal Audit; (6) the office of Public Safety; and (7) the office of (non-academic) Personnel. In addition to directing these functions, Mr. Vorsanger is also Secretary of the Board of Trustees, ex-officio. As such he is the chief contracting officer for the University, including personnel and research contracts, which enables him to be aware of all areas of resource commitment. He noted the importance of centralizing the contracting function.

Mr. Vorsanger noted the following goals of his office:

1. The effective management of resources and the maximization of benefits.
2. The institution of effective management practices.
3. Effective reporting of fiscal matters for effecting planning.
4. The maintenance of a good physical working environment.
5. The creation of new channels of support.
6. The development of teams for research and development.

Mr. Vorsanger noted that two goals of his operation are 1) a Management by Objectives Program and 2) Zero Base Budgeting. Such efforts have already given rise to a 10-15% increase in faculty salaries, as opposed to the more common 5.5%.

Mr. Stevens observed that in 1971, Knox College had an operating deficit of one-half million dollars. Its endowment was some 10 million dollars, of which six million was pledged. Budget cuts were necessary and these were effected administratively and with necessary secrecy. Some positions were eliminated and tenure will be difficult to achieve in the future due to financial constraints.

Mr. Stevens noted functions associated with his office and small staff as including services such as food and transportation, purchasing, establishment of credit, legal matters, investment and property management. His most important task is fund-raising; he teaches also. He described his role in this situation as "abrasive" in that it is his practice to check faculty research proposals for budget reality. He has also established a policy which insures that students use the dormitories and food service facilities on campus, thus increasing revenues, and he questions the ideas of Deans and faculty members alike when new programs are proposed. He finds this style appropriate to the conditions of his institution.

Mr. Stevens noted that the business officer should be expected to: (1) report regularly on the state of the institution; (2) give notice to all units of out-of-line items; (3) relate the budget to outputs; and (4) have a knowledge of the whole institutional budget and create similar understandings among faculty and staff.

In response to questions, Mr. Stevens noted the following principles:

1. Private schools are dependent for survival upon increasing enrollments and raising funds.
2. When budget cuts are necessary, top priority should be given to the maintenance of high quality in the faculty and in the library.
3. Early discussion of new program proposals is necessary so that alternative strategies may be discussed.

In response to questions, Mr. Vorsanger noted the following principles:

1. Athletics can be independent if it has one successful intercollegiate team. Successful ticket sale strategies used in his institution include the "wild hog" strategy and the "hog heaven" strategy.
2. Non-athletic fund-raising at his institution includes the raising of restricted (funding a chair, for example) and unrestricted funds. Development Councils including in- and out-of-state members will be used in raising a proposed two million dollars.

Rapporteur: Marion J. Mochon

B. Presidencies and Deanships

Precis # BX

Title: Creative Opportunities in the Academic Deanship

Speaker: Frank H. T. Rhodes, Vice President for Academic Affairs
University of Michigan

Seminar: St. Louis, Missouri

The dean of a school or college acts as a leader in identifying and articulating the mission and goals of the University as they apply specifically to his unit. It is very important that he develop a strategy for change.

On page 16 is a list of matters with which a dean will have to concern himself at one time or another. Perhaps a person gets to know himself best in the position of dean. Having removed himself one step from the pure academic discipline, it is important that he develop a broad perspective of the role of his school. The secret of success in this leadership role is to develop a form which involves slow, perceptive persuasion and bold decisions. Many of the personal characteristics present in a successful dean are contained in an article by J. B. McGannon, in the Journal of Liberal Education 59, 277 (Oct. 1973) entitled "The Academic Dean - Dimensions of Leadership."

Probably the most important and time-consuming role for this individual must be in furthering student and faculty relationships and promoting curriculum reform. Everyone should be reminded that, historically, students with common interests got together and hired their teachers; thus, it is important that a dean maintain good contact with the students although this is not always easy to accomplish. Consider some aspects of creating good student and faculty relations and consider ways in which the curriculum can be reformed.

Involvement with Students. It is difficult for the dean to keep in contact with students, but there are several good ways in which this can be accomplished:

1. Continue to teach (it is not always easy to arrange one's schedule but this can be accomplished if the desire is there).
2. Have office hours for students.
3. Have weekly coffee hour for students.
4. Meet regularly with student government organizations.
5. Initiate a newsletter
6. Make an investment in student-faculty lounges (cost at most should be about $3,000 each across the campus).

Curriculum Revision. The dean must be concerned about the fossilization of the curriculum. It is probably a good idea to build in a self-destructive mechanism for courses e.g., 5-year term. One big question that must be answered

is: How does one bring together disciplines into a meaningful interdisciplinary curriculum? One revision at Michigan that occurred in the curriculum was that the old general education requirements could be dropped if a student wrote his own distribution requirements.

Faculty Input to Decision-Making. It is important that a dean work with the consent of the faculty. An elected executive committee is helpful in a large school e.g., at Michigan, Rhodes has 29 departments and 16,000 students. Thus, a school-wide elected executive committee of six persons met regularly with the dean and advised him. In addition, special committees, such as a college priorities committee, exist. Michigan devised a questionnaire which was distributed and provided a means for an in-depth review of every unit. Also, chairpersons met monthly with the dean to debate matters of importance. Promotions, new appointments and curriculum development come through the individual chairperson. There is an unwritten agreement that chairpersons will not serve on the executive committee. Rhodes also believes that faculty should be involved in admissions activities.

Promoting Interdisciplinary and Nontraditional Activities. It is important to have a reward system which recognizes people for these activities. At Michigan a program enrichment fund has been created for which any faculty member may apply with or without his chairperson's blessing. Also, distinguished collegiate professorships have been established.

At Michigan, Rhodes, when he was Dean of the College of Literature, Arts, and Sciences, had five associate deans and two assistants to administer the school. The concerns of the associate deans were (1) academic counseling; (2) curriculum; (3) faculty appointments; (4) research and facilities; and (5) long-range planning. Long-range planning is a very important function of the institution and one must look at trends in higher education, taking into account social needs and job opportunities. There must be sufficient flexibility created in the budget to support new activities and to phase out obsolete ones.

Rapporteur: Thomas O. Baldwin

<u>An Outline of Administrative Leadership and Management at the Collegiate Level</u>.

(1) identification of general and particular goals: management and leadership; (2) students: recruitment and admission, orientation, counseling, academic progress and evaluation, residence, living-learning, and campus ambience; (3) curriculum development: nature of curriculum, fossilization, review and revision, new developments (courses, programs, departments, and degrees), initiatives, and new directions; (4) faculty affairs: overview of existing faculty, retirement and resignation rates, tenure, position requests, affirmative action, recruitment, appointment, contracts (expectations and obligations), collegiate appointments, mid-career retraining, leaves, research, evaluation, salary policy, role of faculty, adjunct faculty, and grievance procedures; (5) facilities: libraries, teaching facilities, research facilities, and other facilities; (6) departments and other units: departments, centers, museums, programs, "colleges", housing programs,

support organizations, off-campus facilities, organization of, faculty appointments between units, role of chairman, governance, interactions, and evaluation; (7) the College: role of the College, function of the Dean, faculty participation in governance, organization of the Dean's Office, functions of Associate Deans, role of standing committees, role of special committees and commissions, external relationships, and budget; (8) long-range planning: function of whom, recognition of trends, recognition of needs, and recognition of priorities; (9) decision-making: level of, responsibility for, consultation, information, and implementation; (10) survival and sanity: need for - range of views, methods of, extent of personal contribution, scholarship and teaching, and administration as a career. Source: Dr. Frank H. T. Rhodes.

Precis # BXI

Title: Creative Opportunities in the Academic Deanship

Speaker: Vartan Gregorian, Dean, Faculty of Arts and Sciences, University of Pennsylvania

Seminar: St. Louis, Missouri

Dean Gregorian chose to address the topic of Academic Deanship by outlining the problems and possibilities of a single institution rather than trying to develop some general principles to apply across a wide variety of cases. As a new dean of the College of Arts and Sciences at the University of Pennsylvania, Dean Gregorian faced a rather unique and difficult situation. Before his arrival, the College of Arts and Science, the graduate programs of Arts and Science, the College for Women, and the Wharton School of Finance were separate divisions of the University of Pennsylvania, each with its own history, practices, and faculty. Dean Gregorian was hired to preside over one reorganized college made up of Arts and Science, its graduate programs, the College for Women as well as the departments of Sociology, Economics, and Political Science which were removed from the Wharton School of Finance and placed in the new College of Arts and Sciences.

As such, Dean Gregorian faced thirty-three rather disparate departments and his major problem was to develop ways in which the College of Arts and Sciences could achieve an organic unity out of a previously rather unrelated set of units. Thus his problem was to preside over an entirely new collegiate entity and to give it sufficient structure to make it an effective part of the University of Pennsylvania. Dean Gregorian was committed to the principle of departmental autonomy and had to make this possible in the face of rising faculty expectations concerning the quality of the college, the claims of minorities and women and the limitations placed on him by an insufficient budget. Dean Gregorian set himself the following goals for the improvement and organization of the college. First, he faced a situation in which the advising system required considerable improvement. Second, the quality of teaching needed to be raised; third, Dean Gregorian felt it was necessary to get out of the pattern of Monday-Wednesday-Friday classes and to find ways of making course offerings available at a wide variety of times throughout the week, the day and the evening; fourth, he felt it was particularly important to integrate the College for Women into the new college and to provide new opportunities for women students; fifth, he wanted to maximize the choice of

courses available to students; sixth, he wanted to develop ways to manage the budget more carefully and finally, he felt it was crucial to the success of the entire undertaking to develop a more representative faculty governance structure.

Upon joining the University of Pennsylvania the President made Dean Gregorian a wide variety of promises which, if carried out, would enable him to achieve at least some of his goals. Dean Gregorian was promised full fiscal authority over the affairs of the college and he was also given the opportunity to become involved in fund-raising for the college. He was promised that the Affirmative Action Office would be abolished and he agreed that he would be his own affirmative action officer. Arts and Sciences was given a development fund and extra resources were put in that fund to be used at the Dean's discretion. He was promised the possibility of a vigorous recruitment program with the ability to determine special areas of "selective excellence," areas which would be emphasized for major improvements in the quantity and quality of the program. Dean Gregorian felt that this could be achieved because of the "buyer's market" in higher education, even for senior faculty.

However, Dean Gregorian felt that he had promises of his own to honor, promises made to students, alumni, and parents concerning a higher quality College of Arts and Sciences. To honor some of these promises, Dean Gregorian appointed seven assistant professors as advisors. Working with students is their major assignment and their professional competence makes them more able to give students sound and realistic advice. Much advising is done in the dormitories. Each month, Dean Gregorian invites fifty parents to visit the University of Pennsylvania and the College at the University's expense. This provides a valuable channel of communication between the University and one of its major constitutencies. Dean Gregorian was helpful in establishing a town/gown lecture series made up of distinguished citizens and faculty members. This is a public service available to the city of Philadelphia. In general, Dean Gregorian felt that the University of Pennsylvania needed to be more assertive and aggressive in its recruiting, in its relations with its communities, and in its own self-image. He felt that the University had spent much of its previous history apologizing both for itself and for Philadelphia. This kind of attitude had infected most of what the University did and he was continually looking for ways to change this point-of-view. Dean Gregorian felt that he had to make a special effort to get to know his faculty members personally while at the same time keeping clear lines of authority.

Dean Gregorian faced three possible organizational structures for the College. First, the colleges could be kept as they were with some sort of loose confederation between them. This was considered essentially ineffective and unproductive educationally because of the previously distinct character of each unit. Second, in the newly formed college, he could organize his office in terms of disciplines having a Dean for Humanities, for the Natural Sciences, for the Social Sciences, etc. The faculty did not approve of this plan and thus it was rejected. Third, Dean Gregorian considered the possibility and subsequently chose to have four associate deanships in his office: one for budget, one for instruction, one for graduate study, and one for grants and development. He also reorganized several special and independent studies programs including freshman, junior and senior seminars along with an honors program. He felt it was particularly

important for the Arts and Sciences Dean to be involved in alumni activities and makes it a point to meet with alumni groups all around the country. He is currently exploring some new opportunities for continuing education and believes that the College should actively seek out this new kind of student. He is also establishing a Board of Overseers for the College of Arts and Sciences made up of twenty-eight distinguished University of Pennsylvania graduates.

Reporteur: William B. Bondeson

Precis # BXII

Title. Creative Opportunities in the Academic Deanship

Speaker: Jacquelyn A. Mattfeld, Dean of Academic Affairs, Brown University

Seminar: St. Louis, Missouri

Dean Mattfeld's remarks began with a discussion of the personal variables involved in academic administration. She distinguishes two types of academic administrators: those who see academic administration as a game, and those who are devoted to it as a vocation. Very few of the former group enjoy their work or, indeed, are very successful at it. In either case, it is necessary that the administrator's personality be in harmony with the ambiance of the institution, since not even the most forceful individual is able to change the ambiance dramatically.

Dean Mattfeld then enumerated the areas for satisfaction and creativity which are open to the academic dean. In the area of curriculum planning, the dean can permit her faculty to create ideas, but more importantly, can herself create an atmosphere which will promote ideas. The educational opportunities which she can sponsor include interinstitutional cooperation, innovation in teaching methods, individualization of education, student exchange, and experimentation with admissions criteria. Another opportunity for creativity lies in the dean's service to the faculty. She can lead the faculty as a body toward group decisions, thereby avoiding decisions by fiat. She also has the opportunity to work with faculty individually, encouraging and providing ideas for their personal and professional growth.

The availability of these opportunities, however, depends on the matching of the dean's temperament with that of the institution. To illustrate this statement, Dean Mattfeld outlined and compared her career at two institutions: Sarah Lawrence College and Brown University. Sarah Lawrence, a small college in good financial condition, was primarily a teaching institution, devoted to individualized education. The academic dean was the personification of the school, and was able to implement her policies through persuasion rather than fiat. The dean established the tone of Sarah Lawrence. Dean Mattfeld, while at the New York School, was able to establish a set of foreign-study programs, an outside study budget, an Afro-American studies program, credit for the performing arts and for professional

experience, and credit for field work and for reading. She arranged for faculty to take a year off to grow professionally. However, a new president, chosen from the ranks of business and industry, found his aims incompatible with Dean Mattfeld's, and she left the college. Three years after the Dean's departure, all of her educational programs had been cancelled.

Brown University is a much larger institution than Sarah Lawrence, and has many financial problems. Dean Mattfeld's office has the responsibilities of the deanships of both Brown and Pembroke as well as the duties of a provost, with only enough staff for one of these positions. Charged with responsibility for the undergraduate program, innovation, the conscience of the University for women and minorities, academic counseling, student employment, and faculty committees, the dean is only one of six decision-makers, and is only third in rank. After three years at Brown, Dean Mattfeld faces major difficulties because she does not control her budget, because graduate study has unquestionable priority over undergraduate programs, because she has been unable to lessen the influence and power of the budget-controlling provost, because the power of the deanship has never been delineated. Mattfeld also has problems because she is an administrator who has ideals about education among administrators who consider their work a game. Brown and the other Ivy League institutions are suffering from rigor mortis, she concludes, but as long as young people value the "brand" of the Ivy League degree, there will be no changes, and Brown will give less than it should to society.

During the discussion period, Dean Mattfeld commented on various topics. Asked if a dean can survive without faculty support, she replied that there is always some faculty support, as new faculty leaders emerge along with the new dean. On the administrator's relationship with the university corporation, she advised that there be none at all, unless the administrator is president. Finally, Dean Mattfeld commented on the possibility of returning to full-time teaching after having been a dean: since one has had no time for research, not even for adequate preparation of classes, it would be extremely difficult, especially after as many as five years.

Rapporteur: Joanne C. Ferriot

Precis # BXIII

Title: The New Dean in a Small, Private Institution

Speaker: James L. Billett, Dean, Goucher College

Seminar: Washington, D. C.

From his experiences as an Assistant Vice President for Academic Affairs at a state university and his current position as Dean and Vice President of a small private college, Dean Billet commented on three particular caveats.

1. Programs follow budget. The funding for programs can stimulate an enormous amount of jockeying for control of the budget, particularly at large institutions. Although the availability of funding is vital to the success of programs, the academic officer must realize that the budget is not everything. Such an attitude could easily make one bureaucratic and parsimonious - and ineffective. In the end, however, control of the budget means control of the program.

2. Get the numbers. Institutional research is critically important. Because it runs the risk of "number crunching" and "mindlessness," it is important to ask the right questions. In one instance, a state system office was predicting a given set of growth projections, and the state education office began to generate its own figures. The system office was using numbers to obscure the issues. The private colleges, which were being hurt by the political use of the faculty projections of the state system, obtained access to other projections from the state education office. At lease one individual campus perceived the errors in the system's figures and began generating its own information. What was at stake? The information needed to formulate reasonable policies concerning tenure and promotion, for example. In the case of a private college, four vital pieces of data needed were the following: enrollment figures (full time and part time), endowment, costs, and generated income. When these data were objectively analyzed, the need to reallocate resources became obvious.

3. Obtain the consultation and participation of the faculty in decisions. In the previous case, a decision to reallocate resources stimulated the establishment of a faculty committee. The institutional research behind the administrative decision was given to the faculty committee. The final reallocation of resources reflected their judgments, a fact of great intellectual and political benefit.

The faculty must be sympathetic with changes in the curriculum. Referring to a small faculty committee currently working on the task of revitalizing the general education curriculum, the dean observed that, in order to be effective, the committee (1) must be faculty run, (2) must have an autonomous budget, and (3) must be assigned as part of the teaching load.

Curriculum change is tied to faculty development. A faculty which is highly tenured creates a variety of problems. However, the administration does not hold the opinion that tenure necessarily stops growth. Curricular change should be an important impetus for faculty leaves and other types of faculty development.

Rapporteur: Sr. Mary Murphy, B.V.M.

Precis # BXIV

Title: The New Dean in a Large Private Institution

Speaker: Richard E. Berendzen, Dean, College of Arts and Sciences, American University

Seminar: Washington, D. C.

Dr. Berendzen indicated that he had been serving as Dean of the College of Arts and Sciences at American University for approximately ten months, since July 1, 1974. He divided his presentation into three main sections; the first dealing with pre-dean activities, the second with the activities that occupy the dean during his first few weeks in the office, and the third with the ongoing tasks of the dean.

Pre-Dean. Dr. Berendzen stressed the importance of making a strong, positive impression at the interviewing stage. He feels that it is essential for a candidate to come to the interview with ideas and suggestions for the institution. In order to do this, the dean candidate must undertake a thorough analysis of the institution prior to the interview date. The data gathered should include the size of the endowment, the number of students enrolled, the number and type of degrees awarded each year, the SAT scores, etc. In addition, it is important to find out as much as possible about the interviewers and about the key faculty members and administrators in the institution. This may be accomplished by examining the vitae of many of those involved in the interviewing process and reading the papers and books which they have published. It is also necessary to examine the organizational structure and governance of the university as a whole and, in particular, to find out as much as possible about the person presently occupying the deanship position for which you are applying. Dr. Berendzen also indicated that prior to his formal interview he spent several days on the campus of American University talking to a variety of people including students, secretaries, custodians, and as a consequence, learned a great deal about the informal communication process in the institution.

After the interview, the information-gathering process should continue prior to acceptance of an administrative position. In particular Dr. Berendzen noted that he had talked with the department chairmen of the College of Arts and Sciences, student leaders and key faculty members. He also visited with the department chairman and faculty in the department in which he would be receiving tenure. In the latter instance the informal discussion sessions centered around professional rather than administrative concerns. He feels that it is vital for an administrator to gain the support of the faculty in his own professional discipline.

The First Few Weeks of the Deanship. Dr. Berendzen feels that it is important that a new administrator make a substantial impact during the first few days of his administration. He noted that on July 1, 1974, his first day as Dean at American University, he arrived with several lengthy memos which he at once handed to his secretary. During the next couple of months the Dean followed up on these memos by meeting with each individual department chairman in his College for three to four hours, and eliciting from them extremely detailed information about their department. Also at that time, it was established that henceforth department chairman would submit detailed annual reports of the activities of their unit, including annual reports from each faculty member in the unit. During the first few months, the Dean also talked to the student leaders on campus; i.e. the President of the Student Union and the editors of the student newspapers. He noted that he had felt it important that he go to visit them on their own territory, rather than asking them to come to him. This helped to create a favorable climate for their discussions. Dr. Berendzen also stressed the importance of his involvement with alumni and the alumni association.

The establishment of good interpersonal relationships was perhaps the most vital task undertaken during the first few weeks of a new dean. Good relationships should be developed not only with the chairmen, faculty members, alumni and students, but also with staff members, one's peers, and one's superiors.

The Tasks of the Dean. In American University, one of the key facets of the work of the Dean revolves around faculty personnel actions. It is customary at AU for the faculty member himself to initiate personnel actions, and the burden of proof of worthiness of retention, promotion, or tenure is placed upon the faculty member. The Dean should provide guidelines which will assist the faculty member in compiling a suitable dossier on his achievements. The key attribute which must be identified and evaluated is the creativity of the faculty member. Since this type of evaluation is sometimes rather nebulous and subjective involving fields outside the Dean's own area of expertise, it is often worthwhile to contact faculty peers at other universities. Dean Berendzen feels that it is essential that faculty performance be reviewed annually; administrative performance should also be reviewed periodically, possibly every three years.

The Dean must delegate certain portions of his work. Dean Berendzen is assisted by two associate deans (one for Gruaduate Affairs and Research and one for Undergraduate Affairs) and two assistant deans (one for Administration and one for Program Planning). Budgetary and curricular matters are delegated, but closely supervised by the Dean; faculty decisions are strictly controlled by the Dean himself. It is often very difficult to get departments and department chairmen to consider the mission and goals of the institution in their hiring practices. However, the Dean may control this to a certain extent by resource allocations.

Dean Berendzen noted that at AU the budgetary income to outgo ratio must be 1.9 to 1 in order to maintain a balanced budget each year; the 0.9 pays for overhead charges, as distinct from direct instructional costs. This ratio is an average for the whole College and there is considerable variation among departments. The Dean sets target ratios for each teaching unit. If a unit does not reach its target figure, then cuts are made in its budget; if a unit overshoots its target, then the extra income is retained in the unit's budget.

The allocation of money for travel is handled by a travel advisory committee, set up by and reporting to the Dean. Faculty members may request money to go to meetings and workshops. These requests are reviewed by the chairman and are then forwarded to the travel advisory committee which rules on these requests. Dr. Berendzen feels that this is a more equitable method than the allocation of lump sums to each department.

In conclusion, Dr. Berendzen stressed the importance of the dean's acceptance by the faculty as a whole. He feels, therefore, that it is essential that a dean be a tenured faculty member. From this position, he is better able to command the respect of the faculty and to act forcefully on difficult decisions.

Rapporteur: Molly T. Vogt

Precis # BXV

Title: The New Dean in a Large Public Institution

Speaker: Mary F. Berry, Provost, Division of Behavioral and Social Sciences, University of Maryland

Seminar: Washington, D. C.

Reorganization was initiated at College Park to increase administrative efficiency and to promote the development of innovative programs. The campus was divided into Divisions, each headed by a Provost who reports to the Chancellor.

When the Search Committee for the Provost of the Division of Behavioral and Social Sciences asked her to be a candidate, she declined, suggesting that they look nationwide. Eight months later the Search Committee contacted her again to see if she would consider the position. She accepted the position with the encouragement of the Chancellor.

As Provost, Dr. Berry spends a great deal of time listening to people and to their problems. In August and September the main problems are related to the working budget, payroll problems and implementing registration. Later in the year the primary problems are related to the tenure and promotion process. Budget deliberations and decisions also take up a large amount of time. Dr. Berry pointed out that the faculty always believes that a dean or provost has a contingency fund and therefore they request funds to support a variety of projects. As Provost, Dr. Berry does have access to some funds that are not earmarked for use in the various units of the Division that can be used for other purposes. One of her assistants does a daily accounting of the budget so that funds can be transferred to meet the needs of the various units of the Division. When a member of the faculty goes on leave and that position is filled at a lower salary, the department chairman must report to the Provost what he/she wants to do with the savings. If there is no immediate need for the savings, they are transferred to another department where there is an immediate need.

As Provost, Dr. Berry has attempted to develop a spirit of collegiality among the various units of the Division, so that department chairmen think not only of strengthening their own departments but of strengthening the Division as well. As a consequence of this commitment to the Division, strong departments which receive substantial grants from outside the University are willing to make some contributions from their budgets to other departments in order that they might recruit stronger faculty.

In describing her leadership style, Dr. Berry emphasized the necessity for candor. Early in her administration, she met with each department chairman and discussed the quality of their programs. She encouraged the weaker departments to strengthen themselves and promised budgetary support for their efforts. In recruiting, she urged the hiring of some faculty who would bring grants with them and urged the departments to choose faculty in areas that might obtain funding. The new faculty members have in many cases stimulated the faculty who were already there. In order to open up new positions that could be filled by strong scholars, tenure decisions became more rigorous.

While the emphasis is definitely on research and publication within the Division of Behavioral and Social Sciences, to balance the quality in research with quality in teaching, standards for promotion have been set that will not permit the promotion of a faculty member who is a poor teacher. On the other hand, no one can be promoted without publications and other evidence of quality research.

Dr. Berry cited the following administrative skills that she has found useful: (1) the ability to listen and to communicate that one is listening; (2) the ability to write good memoranda that are straightforward and to the point, avoiding "bureaucratese;" (3) the ability to dictate rather than to write down the information or ideas one wishes to communicate; (4) the ability to wait during a committee meeting until everyone has made their points and to summarize what has been said and to set the direction for acting; (5) the ability to communicate concern about the problem at hand; and the (6) willingness to establish personal contact with the persons who are in a position to make a decision that will help advance one's goals.

Dr. Berry emphasized that in order to be a competent administrator one should not care too much about personal advancement. Excessive concern over one's career tends to inhibit action. One must be willing to make a few mistakes.

Rapporteur: Mary S. Metz

Precis # BXVI

Title: The Contemporary Presidency

Speaker: Herman R. Branson, President, Lincoln University

Seminar: St. Louis, Missouri

The significance of the contemporary presidency is that of an aphorism: It must survive by any means possible. Whatever else goes, the institution must be kept alive. In addition, as one enters the arena of power in the presidency of a college, one should expect to be "clobbered."

Lincoln University is a 120 years old institution whose major constituency is a black population. Since 1967 it has had some state support through the legislature in Harrisburg.

In a world society where 740 million illiterate adults existed in 1960 and 800 million were recorded as of 1970, there is a definite need for an institution such as Lincoln University. The responsibility of man is the advancement of civilization and the "sure" bet is education.

It is essential that one recognize the methods of dealing with the special needs of special people. There are roughly 33 million black Americans in the United States. They are a microcosm of a macracosm. How do we take these individuals and give them a chance? One cannot expect a one hundred percent achievement. There are distinguished alumni to which a college president may refer such as Thurgood Marshall and Nkrumah of Ghana.

In conclusion, it is important that a president be responsible for the survival of the institution. The possibilities of an institution such as Lincoln are great and non-survival is inconceivable.

Rapporteur: Lucia S. Hawthorne

Precis # XVII

Title: The Contemporary Presidency

Speaker: Paul C. Reinert, S.J., Chancellor, Saint Louis University

Seminar: Saint Louis, Missouri

The president's basic functions are academic leader, chief manager, and keeper of the institution's image as chief spokesman.

As an academic leader, the president should maintain a scholarly interest in his field. He should function as an academic gadfly, posing irreverent questions. It is necessary to get things started. It is important to provoke and probe goals of the institution and its uniqueness. He should ask questions about the students and always remember the institution's constituency before deciding upon goals and curricula. It is also important to question the curriculum in terms of interdisciplinary study and academic credits for work experience.

The second function of a contemporary president is that of a manager. It is important that the university be a human institution for it to survive. The operation must make sense according ot its ambitions and resources. Although there is need for a balanced budget and accountability, the dominant factor in decision-making must be the academic one. It is also most important that in terms of management the president should be honest, consistent--do not "demonstrate wealth" in recruitment and then "poor mouth" the situation once recruitment is completed--knowledgeable of the power groups, communicative, timely in decisions, and responsive to the necessity of a relationship of a positive nature between the finance officer and the faculty.

Maintenance of the image of the institution is the third function of the contemporary president. He is the spokesman for the institution to the outside public at all times. Internally his position is just as important to students, faculty, and the staff. At the Saint Louis University there is a Student Development Council which receives information and serves as an information dissemination agency. While one may try to ignore it, there is an interrelationship between public and private institutions of higher educations. Essentially, there is a need for a willingness to go to individuals or groups and ask for assistance in help and finance. If one is in doubt about seeking a college presidency, he should ask himself if he has an unshakeable belief in the perfectability of human nature and young people, and can he find personal fulfillment in a <u>team</u> effort?

Rapporteur: Lucia S. Hawthorne

C. Teaching and the Curriculum

Precis # CXVIII

Title: Faculty Development in a Time of Retrenchment

Speaker: Joseph P. Kauffman, Professor of Educational Administration, University of Wisconsin-Madison

Seminar: Saint Louis, Missouri

The topic of faculty development is broad and ambiguous; however, discussions of the topic are essentially related to the fact that colleges and universities, given the current climate of retrenchment, must begin to give more attention to the current climate of retrenchment, must begin to give more attention to the resource allocation process and how to most effectively use existent resources. The Group for Human Development began its discussion of faculty development as a logical extension of its work on student development, emphasizing the following concerns.

1. A frequent consequence of retrenchment is a fear of attempting anything new.
2. Cost-effectiveness formula funding forces educators to demonstrate that they are making efficient use of available resources.
3. Given the current job market, there is increased concern that a department, school, or college may become "tenured-in" making it even more crucial that faculty members have the opportunity to receive assistance in improving their performance when needed.
4. The emphasis on number of credit hours generated and the relaxing of degree requirements have caused many faculty members to become more concerned about attracting clientele (it was noted that many institutions are reinstituting graduation requirements).
5. Most institutions now have a somewhat open system of admissions and many faculty members have experienced some difficulty in adapting to the new egalitarian era.
6. Collective bargaining and the new legalism on campus have led to increased structure and rigidity and new mechanisms must be found to retain some flexibility in the system.

Question: How do we encourage faculty members to increase their effectiveness without their becoming defensive?

Comments: The Group for Human Development perhaps does demonstrate a certain kind of idealism in their belief that most faculty members are in favor of self-growth and improvement and academic administrators merely need to utilize this motivation through faculty development programs.

Question: To what extent is it possible to implement the faculty development proposals in an institution with collective bargaining?

Comments: Most faculties would be more than willing to earmark some funds for faculty development with the assurance that such a program would not

be used against anyone. Such an arrangement could be made a part of the collective bargaining agreement. Where there is conflict, administration and boards tend to adopt a "to-hell-with-them" attitude. Such an attitude is counterproductive for if an administration feels that it is stuck with current faculty, it should be interested in improving the quality of the current staff.

Question: At a small four-year college with collective bargaining, funds were made available for faculty workshops on teaching effectiveness; however, the faculty saw faculty development as an opportunity to do more research and writing. In fact, the bargaining agent requested and won an agreement that publications be used as tenure criterion. Have faculties grown tired of workshops?

Comments: We have applied the medieval concept of scholarship across the board, ignoring major differences among postsecondary institutions. The concept of grant-funded research is inappropriate for approximately 80% of such schools and the monies so expended should be used for faculty development. We need to learn more about how to spend faculty development money; there must be a direct line from workshops to performance in the classroom. We must train better teachers for community colleges, liberal arts schools, innovative institutions, etc.

Question: The faculty in a small school within a state university initially welcomed a faculty development center but they now think that they should not devote much time to teaching effectivenesss since it is not related to tenure. Should one expend time on faculty development before altering tenure requirements and how does one accomplish the latter?

Comments: A faculty reward system must be related to faculty development and good teaching. We have structured things in order to rationalize what we are doing, although it may make no sense in terms of what we are actually trying to do. Increasingly, the public sector will not allow the kind of weight given to research that is currently done. The reward system must be related to the goals of the institution and tenure criteria should vary accordingly. At one institution a faculty member may choose to be evaluated primarly in terms of teaching or research. One who selects teaching is given a heavier teaching load than one who opts for research. (It was noted that such an arrangement might be difficult under collective bargaining.)

Question: How do you get faculty members to accept advice from professional educators?

Comments: A dispassionate setting must be created where it is safe for a faculty member to examine ways to improve exams, teaching, etc. A variety of techniques must be employed in order to make the situation safe and rewarding.

One state institution funded a Center of Learning unassociated with any of its colleges or the administration. The Director discussed the Center with faculty members, solicited relevant proposals from

them, sought additional extramural funding, and conducted workshops for graduate assistants. This activity took place quietly and without fanfare. The Director will use expertise wherever he finds it and the Center appears to be well-accepted by the faculty.

Question: How does one assess teaching effectiveness?

Comments: Evaluations by students tend to measure rapport and classroom mechanics rather than teaching effectiveness. Most faculty members do not want their professional worth determined by current primitive student evaluation instruments. Nonetheless, public institutions can no longer get away with saying that teaching will not be considered in promotion and tenure decisions. We must develop adequate assessment instruments. Perhaps faculty should not operate behind closed doors--peers should visit the classroom in order to offer constructive criticism.

Question: There seems to be no consensus concerning the goals of faculty development. Faculty development toward what? Should faculty development be restricted to teaching or should it also include research and scholarship?

Comments: Agreement on goals will not solve the problem; we still must ask how does one intervene. Faculty development does include more than teaching. Because of the tremendous diversity among colleges and universities, there should be no single criterion for tenure; such criteria should be related to the specific goals of the particular enterprise involved. Faculty development at best is a very functional activity centering around the interaction between students and faculty. The task of academic administration is to enhance and improve this interaction by utilizing the available pool of resources in as productive a manner as possible.

Rapporteur: Melvin L. Gary

Precis # CXIX

Title: Faculty Development in a Time of Retrenchment

Speaker: David C. Epperson, Professor of Education and Urban Affairs, Northwestern University

Seminar: Saint Louis, Missouri

This proposal is based upon the recommendations made by the Group for Human Development in Higher Education in their new report Faculty Development in a Time of Retrenchment. The basic challenge that the report issues is summarized in the following statement:

> Faced with demands from students who doubt the authority of their professors, and from a cost-conscious and sometimes anti-intellectual public, faculty have a choice: they can either retreat into privileges already won, neglecting or sabotaging efforts to improve the system - or they can take the initiative. Instead of reacting defensively, awkwardly, and belatedly to student demands and outside control, they could take part in redefining teaching and the academic career in ways that would serve everyone's interests.

If professors are to transform the teaching enterprise into a greater opportunity for satisfaction and a source of personal and professional renewal, it would appear advantageous to organize faculty into small groups where they can share with trusted colleagues their concerns and achievements. Clearly traditional departments do many things for faculty and indeed continue to serve important functions in the academic community. However, their monopoly on faculty time has seldom resulted in the emergence of professional cultures in which the art of teaching becomes a central issue of discussion, debate and analysis. Departmental groupings are infrequently places where an atmosphere of mutual trust and respect permits regular and open exchanges of teaching problems and practices. Furthermore, departmental units have become insulated, one from the other, in ways which preclude challenge and stimulation across disciplinary lines.

It is recommended that <u>teaching groups</u> be formed by faculty who share common intellectual interests. The members of each colleague group would support one another in the development of new and refreshing approaches to organizing curriculum and conducting instruction.

> Originally a professor would be hired to serve in one or more groups for whose work he had already been trained, but within limits he could rearrange his "set" of interests by joining a new group and at some point leaving one of his original groups. The requirement for joining a new group would be, not certified competence in the field, but lively curiosity about it and a commitment to work within it. Such a structure would offer faculty an appropriate way of expanding their competence without---going back to graduate school, and in doing so these professors would set students an example of being open to the strange and risky instead of always playing from strength.

It is recommended that these teaching groups 1) experiment with different approaches to grading, 2) make use of the institution's available instructional resources (evaluation experts, video tape equipment, etc.), 3) provide an ongoing forum for the discussion of teaching achievements and problems, 4) seek outside funding for teaching innovations, 5) conduct periodic confidential assessments of their own teaching effectiveness and 6) involve a limited number of graduate student interns in the group's work in order to allow the next generation of college teachers to benefit from and contribute to professional redefinition activities.

The formation of colleague groups engaging in the above set of activities has the potential of freeing professors from stagnation.

> ...at the same time, it would subject them to the excitement and discipline of working with colleagues who enjoy different expertise and different experiences. This approach would also open up the structure of academic knowledge and make it less forbidding to students who do not plan academic careers. Even among those students who will carry on the dialogue within the professions--the men and women who will be chemists or historians or anthropologists--the disciplinary ordering of knowledge ought not to be the exclusive focus.[1]

A Point of Departure

In order to test the viability of such colleague groups at Northwestern, it is proposed that an initial group be organized during the 1974-75 academic year and that its faculty be prepared to offer instruction by the 1975-76 academic year. It is recommended that this first teaching group focus upon those social policy questions that are currently under study by selected faculty at the Center for Urban Affairs.

In order to extend the range of policy questions addressed by this teaching group, other faculty should be recruited whose intellectual interests compliment the interests of those Center staff choosing to join the teaching group.

Specifically the following criteria are suggested for joining this initial teaching group (which should probably include from 8 - 12 faculty members):

A. Interest Criteria

1. Compelling interest in achieving a better understanding of the issues of equality, justice, and liberty as they relate to social policy.

2. Commitment to critically analyzing existing assumptions upon which selected social institutions are based (the family, educational institutions, youth services agencies, the criminal justice system, health services, economic investment units).

3. Interest in generating new institutional models based upon alternative sets of assumptions.

B. Commitment Criteria

1. Willingness to involve directly undergraduate students in ongoing policy analysis and research projects when appropriate.

2. Willingness to commit one-half or more of one's teaching time to Social Policy Teaching Group courses for the 1975-76 academic year.

3. Willingness to participate in ongoing monthly teaching forums at which time curriculum and teaching rpoblems would be discussed by the Group. (Beginning fall 1974.)

[1] From an editorial in Change magazine, December, 1973, summarizing the "Faculty Development" report.

4. Willingness to engage in regular systematic evaluations of teaching effectiveness conducted jointly (and confidentially) with other Teaching Group members.

5. Willingness to test out the feasibility of turning over student grading to another member of the Teaching Group and to reciprocate by grading the work of another member's students.

6. Willingness to accept from time to time (possibly one-quarter per year) a graduate teaching intern who would join the Teaching Group for the duration of his internship.

7. Willingness to work with other members of the group to prepare proposals for outside support for selected teaching reforms, such as major curriculum development or revision projects.

Steps for Organizing the Group

In order to establish this initial teaching group, it is recommended that the following steps be taken:

1. A group coordinator should be appointed prior to the end of the 1973-74 academic year.

2. Faculty should be recruited before the beginning of the fall quarter 1974.

3. Arrangements should be made with department heads to allow these faculty to adapt half of the courses in their teaching load to the needs of the Social Policies Teaching Group. In addition, arrangements should be made to relieve these faculty from at least one major committee assignment in order to free up time for Group meetings.

4. As the needs of the Group and potential students are assessed, a limited number of new courses would be created. (Possibly beginning with a Social Policy Topics Seminar.)

5. A degree-granting option would be established if and when justified by faculty interest and student demand. (Possbily following the CAS ad hoc major format.)

6. Full-time undergraduate summer policy research internships with approximately six students assigned to a faculty member would be offered during the summer of 1975. This option would provide students with an intensive involvement in a policy research effort (for 10 weeks) and at the same time provide faculty with meaningful support (in the form of student assistance and 2/9 salary.)

7. In order for the activities of the teaching group to be assigned a central place in the life of faculty, it will be necessary that their contributions to the Group be taken into account in making rank and pay decisions.

Rapporteur: Hattie Bessent

Precis # CXX

Title: Alternative Curricula in Postsecondary Education

Speaker: Peter H. Armacost, President, Ottawa University

Seminar: Saint Louis, Missouri

During this session the Fellows considered not only an alternate curriculum, but also the reasons for changing a curriculum, the change process, and its consequences. Each of these aspects were particularly important at Ottawa University because the full institutional curriculum, not just a part of it, was revised.

The curriculum at Ottawa University centers on the student contract which defines for each individual a program of studies. Working with a faculty advisor, a student completes the contract draft by the end of the sophomore year. Each contract begins with a statement on the personal goals of the student, then addresses planning of educational experiences. For depth, contracts specify a major, disciplinary or interdisciplinary. For breadth, the college requires seven interdisciplinary core seminars which use small discussion groups and team teaching to provide curricular emphasis on integration of knowledge and a common intellectual life for the college. For cross-cultural encounter, a student spends time in and studies a culture alien to his own. Contracts include courses, nontraditional studies, physical activities--all efforts planned to achieve stated personal goals. An advisory committee and the academic review committee must approve each contract and subsequent revisions to maintain program quality. The college calendar is based on a seven-week module with two courses per module, giving a pattern of 2-2-1-2-2. Carrying fewer courses at a time enhances concentration and retention. The pattern permits January term cooperation with 4-1-4 institutions. Many courses are being modularized, i.e., broken into small subcourse units which may lead to summative credit.

In selected courses including the core seminars, students may choose between conventional grading or a pass/no-credit option. A comprehensive evaluation sheet accompanies each course grade.

This unusual program was not designed as a defense strategy. Change was entertained out of the conviction that higher education must incorporate the psychology of learning into its curriculum, and that such a curriculum and the accompanying faculty behavior would strengthen the institution. The college hoped to achieve a distinctive program, good personnel in faculty and administration, institutional research for formative evaluation, improved productivity and effectiveness, and sound financing.

The change process required three years for planning, including eighteen months to prepare new courses. It started with a faculty committee charged to define institutional goal-statements. Next, necessary consideration was given to seventeen learning opportunities which must be present in the curriculum to support goal statements. Finally, program planning was viewed as specifying the necessary support structure--learning contracts, graduation requirements, calendar, grading, etc. It was not until the second stage of implementation (after several years experience with the program) that major funding of over $500,000 was received by Ottawa University from the Fund for the Improvement of Post-Secondary Education (FIPSE).

Implementation concentrated on faculty development beginning with workshops on teaching in general and interdisciplinary courses in particular. Topics included course content, pedagogy and the process of change itself. Workshops used invited lecturers, a hired process manager, frequent forums on educational issues, and weekend retreats for faculty, spouses, trustees and students. Encouragement was provided by faculty "venture" grants of $50 to $500 for teaching projects, and by sabbatical leave of a half-year every three years. Faculty contracts initially continued the traditional pattern, but are gradually including developmental contracts in which each faculty member specified his own professional goals and plans. Throughout the process, faculty development aimed to make already good faculty members excellent.

FIPSE funds were also used to augment limited resources now called on to meet enlarged student demands and expectations. The college developed an academic network of adjunct instructors from industry, business and other academic institutions. Courses were modularized. Interdisciplinary centers were established on study topics: communication, environment, individuality and personal values, organization and culture. Graduates received a free-tuition voucher for ten courses good over ten years as a warranty to keep their formal education current. Larger sections in introductory courses permitted more extensive availability of independent and directed study.

Faculty support for curricular change requires their involvement at all stages, beginning with preparation of a goals statement. Existing staff was viewed as a valuable resource for ideas and energy; consultants (J. Bevan, J. Katz, E. Shoben, H. Hodgkinson) were not employed until the second year. Committee tasks were carefully defined to help shape their answers. The planning committee included the most creative persons and opinion leaders among the faculty. Early involvement of faculty in the change process was largely responsible for 90 percent of the faculty accepting the new curriculum on a secret ballot.

Major curricular change poses two threats to a small private institution. Specialized student goal statements may persuade students to transfer to other universities. Self-defined educational goals may threaten the institution's constituency which provides funding and students.

Rapporteur: Robert J. Hatala

Precis # CXXI

Title: Alternative Curricula in Postsecondary Education

Speaker: Neal R. Berte, Vice President for Educational Development and Dean of the New College, University of Alabama

Seminar: Saint Louis, Missouri

Development of New College Concept

I. Assumptions

Local conditions (individually and environmentally) naturally dictate development of any program:

(A) principle of individual differences: needs (Maslow, A.); personal, educational and vocational;

(B) students are capable of accepting more responsibility than usually assumed;
(C) significant learning occurs in and out of the classroom setting;
(D) Carnegie Commission recommendations re: interdisciplinary problem-oriented general education model; and
(E) teaching-by-example: modeling appropriate behavior by faculty/facilitative teaching stressed.

II. Admissions and Features of New College

Egalitarian flavor to admissions process/freedom, flexibility and motivation stressed:

(A) broad spectrum of student population;
(B) student must develop and write self-purpose and evaluative statement;
(C) external credit granted for prior/current educational experience;
(D) contractual learning model:
(1) student answers, "What are your educational and vocational goals?",
(2) faculty, student and community may serve on a committee established (up to 3 persons) for contract advising, and
(3) purpose essentially to aid student to shape on- and off-campus experiences;
(E) problem-oriented interdisciplinary seminars: each student participates in a number of interdisciplinary problem-oriented seminars with the concurrence of his/her committee;
(F) specialization:
(1) indidivual creates specialization area,
(2) in-depth study is developed by student/advising committee, and
(3) cross-university faculty involvement in area development;
(G) five options for awarding external credit:
(1) cross-cultural, e.g. international travel,
(2) cross-university internships (undergraduate AAIP-like programs),
(3) community action programs,
(4) individual study (tutorial programs), and
(5) prior experience (CLEP: major issue- standardization of CLEP results in awarding credit for demonstrated prior learning experience).

III. Evaluation

Evaluation is conceptualized as follows (Bloom, et al):

Objective	Subjective
OPI (Omnibus Personality Inventory)	Unobtrusive Measures
Allport Scale of Values	Consultations
Revised Strong Vocational Interest Inventory	Faculty/Staff Growth Contracts a. Professional Development b. Teaching/Learning c. Advisement Responsibilities d. Personal Assessment 1. Strengths 2. Weaknesses
Evaluation of Faculty/Staff *Only faculty member(s) see midsemester evaluations	
Evaluation of Student(s) via Checklist	Student Life Studies Model Evaluative Design; 3 groups
Evaluation of Dean (annual)	Profiles developed

IV. Concluding Comments

New College presently has 200 students with 14 faculty and staff members including the Interns. The faculty are on a changing/ joint appointment. Benefits from the New College program include: in-service development of faculty; spin-off benefits (e.g., the College of Arts and Sciences now offers a similar option for an individualized degree program and the School of Commerce has assimilated the business-government-industry internships for credit).

Rapporteur: John F. Eibl

D. Higher Education Policies and Politics

Precis # DXXII

Title: Politics and Higher Education

Speaker: John D. Millett, Director of the Management Division, Academy for Educational Development, Inc.

Seminar: Washington, D. C.

A passage from Dr. Millett's book Politics and Higher Education nicely captures the theme of his remarks by the same title:

> ...In the sense in which I use the term politics as the process of determining basic social objectives, it is illusory to believe that any separation of higher education from politics is possible or desirable in our liberal democracy.

Here is a summary of the reflections that Dr. Millett shared in support of this theme, reflections flowing from his experience in government, as president of Miami University of Ohio, and as Chancellor of the Ohio Board of Regents. They were presented not as autobiography and not as concepts easily generalized to all state settings, but as observations that might hold some utility for future higher education leadership.

First, it is clear that government is by far the largest financial supporter of higher education. The level of support, from both national and state sources has increased dramatically over the past two decades; and so it is not surprising that government takes an increased interest in the impact of those resources.

Second, our colleges and universities are becoming more closely entwined with our national life. Whereas American public higher education has been widely known for its influence on our rural and agricultural life, its service to our cities and urban areas is of more recent origin. Traditionally, the private colleges and universities were the ones who provided educational service to cities - as an examination of the location of older major universities, such as The Big Ten, will clearly reveal. The growing presence of public higher education in cities

brings with it positive potential for solving problems of urban life but an uncertain impact upon private schools which have been there all along.

Even with its growing role in our society, however, higher education does not have a very effective voice in our political processes. Neither professors, administrators, students, nor alumni have a unified political voice at this point. Nor do they seem inclined this way. On this point, higher education may well learn important lessons from public education at the elementary and secondary level. Local, state, and national education associations have a highly organized lobby and well-supported work in the political arena.

If one searches for bases of political power for higher education, Dr. Millett observes that this experience generally reveals these to be found in two places: the governor's office and the leadership of the state legislature. As legislatures in many states take an increasing role in the policy and budgeting processes, via increased support for committee work, the cultivation of legislative leadership will become of even greater importance.

However, a friendly disposition of the governor toward higher education is of even greater value. These reasons are easily explained and historically supported. For example, the governor holds the impulse to leadership - in recommending the budget to the legislature, in naming key officers to major boards, and in his veto power over legislation. From a historical perspective it is clear that strong state systems of higher education are frequently associated with strong executive commitment to higher education in that state.

For those who are anxious about the degree and character of higher education interaction with politics, a closing note taken from Dr. Millett's book will be of interest:

> Politics is not the process of meeting felt needs; it is the process of responding to economic and social forces that compel political action. Higher education has been a compelling social force in the past. It might become a compelling social force in the future. Time will tell.

And not only time will tell, leadership will tell for ...

> higher education must have political spokesmen - spokesmen who understand the glory of higher education but who can talk the language of practical politics, spokesmen who seek great ends while pursuing reasonable and ethical compromise.

Rapporteur: E. Grady Bogue

Precis # DXXIII

Title: The Postsecondary Milieu

Speaker: Harold Hodgkinson, Research Educator, University of California, Berkeley (now Director, National Institute of Education)

Seminar: Saint Louis, Missouri

Higher education challenge and response provided a framework for the themes of this session. Tracing first the emerging development of American higher education as having been in three stages:

Aristocratic - college access based in birth and heritage
Meritocratic - college access based on admissions tests
Egalitarian - college access based on desire and aptitude

Dr. Hodgkinson moved into an outline of the major challenges facing higher education today.

Challenges to Higher Education

First among these challenges is that of a demographic turnabout. Birthrates are declining; these declines portend a drop in the college age population in the latter part of this decade and in the 1980's. Already colleges are feeling the crunch of stabilized enrollments and runaway costs aggravated by inflation. More serious problems may be expected with an actual decline in enrollment, especially when a larger portion of the college age group may be in the minority and lower socio-economic segments of the population, as is suggested by current birthrate statistics.

Other challenges facing higher education include a current disenchantment of the American public with all its institutions, not just higher education, but certainly including it. Competing social priorities - health care, environmental concerns, justice - draw increasing attention from state and federal governments. And there is an educational competitor to be found in the growing educational activities of business and industry, military, and proprietary institutions - who find that many dimensions of their training and educational needs may be more effectively and efficiently met with in-house programs.

There is also a growing realization that a college education no longer is the magic entree to the job market. Indeed, some data now suggest that "belonging to a union" may be a better predictor of earning power than "years of schooling." Higher education is also being rapidly caught up in legal questions on the relationship between traditional measures of academic ability (grades and test scores) and job performance. This may be expected to impact in two critical ways - on the input end where admissions tests are coming under fire, and on the output end where the possession of a degree or other credentials may not clearly be related to successful job performance.

Finally, higher education must begin to grapple with a broader concept of talent. Data emerging from studies in earlier years of schooling suggest that the relationships between creativity/decision-making ability and intelligence/academic aptitude - at least as measured by existing instruments is not as direct as we once supposed. The implications for college admissions and college programs are interesting ones.

Responses of Higher Education

Among the more constructive responses of the higher education community to these challenges is that of curricular reform. These reforms include the following:

module learning, Keller plans, contract learning, program instruction, computer-assisted and computer-managed instruction, credit by examination, and competency-based learning. The one area not being addressed with any significant frequency is that of the definition of "content" fields - whether academic fields and disciplines, and their organizational expression in departments, constitutes the most appropriate way of continuing to think about the organization of knowledge.

Other response activity includes research into the teaching-learning process. Some of this research is producing results that are uncomfortable with conventional notions of learning and education. For example, there has been good attention in past research on learning curves, whereas some emerging research suggests that we might well begin paying more attention to forgetting. Limited requests reveal interesting and disturbing notions of retention as a function of delivery, use, and field of knowledge. Perhaps, as suggested by Dr. Hodgkinson, education should carry a performance guarantee similar to industrial products - for example, a B.S. degree guaranteed for only four years after issuance. This raises even further interesting possibilities such as that of recalling diplomas should deficiencies be discovered in a person's education.

In closing this description of higher education response to challenge, it may be appropriate to highlight findings reported by Dr. Hodgkinson from an evaluation of programs funded under Title III for developing institutions. These findings suggest that institutions will discover that both their survival and impact are more certain if they have:

1. A clearly defined mission and institutional identify.
2. Programs that add up to and accurately reflect this mission.
3. A limited diversity in their students.
4. Cooperative ties with other institutions.
5. Measures of cost and performance effectiveness that relate to mission.
6. Dispersed leadership patterns.
7. Defined standards of performance for both personnel and programs.
8. Organizational and decision structures that facilitate mission accomplishment.

Rapporteur: E. Grady Bogue

Precis # DXXIV

Title: Looking Ahead in Higher Education

Speaker: Earl F. Cheit, Associate Director, Carnegie Council on Policy Studies in Higher Education

Seminar: Saint Louis, Missouri

Higher education, which enjoyed its Golden Age of Finance during the years 1958-68, now finds itself in the midst of the "New Depression," the "steady state," and collective bargaining. Although the present is a difficult time, it does present two very important areas where effective academic leadership will make the difference.

The first is the opportunity to influence the management movement, which had come into its own in higher education by 1973. With financial squeezes necessitating reduced expenditures as well as increased income, the role of management systems has assumed ever greater importance. The budget process, information systems, and review mechanisms are now so important that they cannot be ignored by the faculty. who must either participate in the management process or be alienated. This, of course, represents a profound change from the previous mode of operation whereby the faculty initiated all ideas and the administrators simply made them all possible.

Planning is now an exercise in reality, and the administrative challenge is to find ways in which faculty can participate without killing faculty interest. Faculty involvement is particularly needed to curb the type of "mindless managerialism" which would equate educational effectiveness with unit cost data. Management methods have made us more cost-conscious, which is good, but the methods have not been placed in the context of purpose. It must be recognized that, in the absence of other data, management methods will tend to rely on numbers alone. Purpose must be stated, and prior definition is needed before allocations can be made. Colleges and universities need faculty to participate in resource allocation in order to specify institutional goals. If faculty reject this opportunity, estrangement or a trade unionism mentality will result.

The recent move on the part of the federal government to require unit cost data information from all the nation's colleges and universities is an outrage in that the data requirement would determine what people can do. The U. S. Commissioner of Education's recent rejection of mandatory unit cost data records fortunately gives higher education the necessary pause for reflection and the opportunity to devise more meaningful evaluative norms that isolated unit cost data.

The second challenge stems from changing enrollment decisions of students. The projected "steady state" of this decade, the decline in the next, plus students' opting for study related to work is creating tension between the "useful" and the "liberal," and student concern for future employment is causing tremendous drops in liberal arts enrollment.

Response to this tension ranges from institutions' complete disregard of the trends to complete conversion to professional or career study. Many institutions, both large and small, are accommodating themselves to the new realities and exploring the relationship of work to study and the meaning of "career education" in a liberal arts context. On the one hand, liberal arts colleges are now adopting certain elements from professional schools, such as cooperative education programs, internship, problem-solving centers, and career counseling and guidance. Discipline-based liberal education, currently graduate school oriented, is inadequate and needs the challenge of competing models. At the same time, many professional schools are trying to incorporate liberal areas into their training, e.g., "humanistic studies in engineering." One advantage to having the two on the same campus is the arts college's influence on the professional schools, which tend to view the professional in terms of social influence rather than as a person who intervenes in a one-to-one relationship.

It is appropriate to recall that the language of the Morrill Act creating the land-grant colleges provides that the useful arts should be taught in a liberal manner. The challenge to academic leadership is to redefine the history and mission of the liberal arts college and the professional schools in the present context.

Are academic administrators responsible for creating the present situation? No. Just when academic leadership came to terms with the problem of growth during the postwar years, the steady state decline began. Of necessity, decision-making in a period of non-growth becomes more centralized and some freedoms are lost. The call to accountability by state legislatures, justified because they have a right to expect that colleges and universities should be reasonably governed and reasonably efficient, needs to be more refined than it has been. The opportunity to influence educational direction is here. This is an opportunity which should be attractive to administrators and motivation for ACE Fellows.

Rapporteur: Sr. Mary Murphy

Precis # DXXV

Title: Emerging Financial Issues

Speaker: Ben Lawrence, Director, National Center for Higher Education Management Systems at WICHE

Seminar: Boulder, Colorado

Mr. Lawrence's talk was divided into two central parts. The first involved a discussion of some of the basic issues in the financing of higher education which may assert themselves over the next several years. Secondly, he suggested an overall "offensive strategy" for dealing with the new issues facing postsecondary education.

In briefly reviewing the history of financing of higher education over the past several decades, Mr. Lawrence recommended that we in higher education have failed to anticipate problems and have characteristically reacted defensively. The first issue is national economic policy. The question here is whether we are fighting inflation or recession. Postsecondary education is heavily victimized by both aspects of this interconnected dilemma. The case for support must be made on the basis of hard evidence to persuade the public, Congress, and other public officials that postsecondary education "generates both short-term and long-term economic benefits, in times of inflation or of recession or of real economic growth."

The next problem on his list is what he calls the "steady-state syndrome." This is simply a version of the myth of the status quo. It is also, in Lawrence's view, a dangerous attitude inasmuch as it commits people in higher education to the notion that enrollment is necessarily hinged to the birthrate. In fact, higher education can find new markets among those segments of the population that might benefit from lifelong learning. And here it is unwise to place restrictions on any particular group. There are opportunities for lifelong learning both in terms of vocational education and in terms of liberal arts.

A third issue, in Mr. Lawrence's view, has to do with the concept of entitlement. This concept already applies to other federal social programs, and must also be applied to the issue of student aid. He suggested further that programs promoting a "partnership between the federal and state governments under which federal funds reinforce the individual state financing strategies" might be developed. As an example, he referred to the Kirschling/Postweiler plan.

Fourth, and perhaps the most difficult issue that must be dealt with, is the growing tendency for legislators "to link funding to productivity, quantitatively assessed." In order to develop a sane policy of financing, Lawrence believes that those who seek funds must examine more seriously the question of productivity.

Lawrence argued that those of us in higher education must go on the offensive. If we do so we can accomplish several things: first, we can show that in postsecondary education there have, for many years now, been qualitative gains in productivity; we can demonstrate "that opposition to forced quantitative gains in productivity at the expense of quality is just as strong as among faculty" as among others; and finally we can find ways to "improve productivity in both the qualitative and quantitative senses."

Rapporteur: Peter Clecak

Precis # DXXVI

Title: Outcomes and Future Policy for American Higher Education

Speaker: Howard R. Bowen, Avery Professor of Economics,
Claremont Graduate School

Seminar: Boulder, Colorado

Higher education in the United States has grown steadily as interest and innovation have provided an opportunity for larger and larger percentages of the population to participate. The magnitude of higher education can be measured by the nearly 3,000 colleges and universities, the 10 million students attending these institutions, or by the direct cost of more than 30 billion dollars per year. Although the statistics are impressive, the question of what higher education is contributing to the American society still remains unanswered.

The concern about outcomes from higher education are intensified by problems which exist in today's society. The impact of these unanswered problems along with leveling enrollments, on higher education are significant and cannot be ignored.

The goal of education for every person up to his potential has not been achieved. Numerous statistics indicate the failure to provide equal opportunity for all segments of society to participate in higher education. The achievement of this goal depends on society's view of the outcomes from higher education and the willingness of society to provide sufficient support to allow expansion to new classes of students.

One measure of outcomes from higher education is economic. Although recent investigations indicate that investments in higher education yield returns

of 10% per year, these statistics can be easily misinterpreted. In most cases, samples included in an analysis are not representative of the total population. More conservative estimates indicate a 4-5% return on investment in higher education. The economic return due to higher education can be expressed in many ways. One tendency of higher education is to provide credentials which given advantage in the marketplace to the college-educated. Other impacts are directly on the individual receiving the education and results in increased ability to be productive. A more direct economic outcome of higher education occurs through research and public service. It must be emphasized, however, that all economic returns due to higher education are probably subject to diminishing returns as further expansion occurs.

There have been numerous recent attempts to measure the influence of higher education on the human traits and behavior patterns of individuals. Although these investigations do reveal that a significant number of changes occur, the results are based on averages and large deviations exist within samples considered. Specific conclusions are difficult to derive, but most indicators would support the judgment that higher education has a positive influence on individuals who attend college. Changes in college-educated people may result in corresponding changes in society with the extent of change being proportional to the number within a segment of a community.

Higher education has a direct influence on society also. Universities are considered an available and ready source of information to all segments of government, industry and society. Faculties of universities and colleges are used as consultants to business and government. In addition, the existence of the institution and the faculty within a community have a significant influence on the attitudes of the community. There are some concerns with loss of objectivity by faculty due to close alignment with interest groups.

There was obvious evidence of the impact of higher education on social change in the 1960's. The involvement of faculty and students in political issues was a dramatic attempt to apply ideals to practical and existing problems. Although these problems have not been solved completely, the sensitivity to the problems has increased and approaches to solutions are more evident.

Higher education tends to have a direct impact on lives of individuals during and after college. Attending college is usually a valuable and rewarding experience. The benefits include new interests, new awareness and new understandings about enjoyment of life. College education also probably adds to lifetime interests and satisfactions. The exposure of society to various types of public entertainment must be considered an additional direct benefit of higher education.

The conclusion to an analysis of outcomes from higher education must deal with inadequacies. The results probably have, on balance, been favorable; but, higher education cannot be expected to create a perfect society.

A conclusion which seems evident is that higher education should place more stress on enrichment of human lives and less on promotion of economic growth. The achievement of this challenge will require continued emphasis on providing educational experiences which deal with personal fulfillment and cultural development.

In addition, research and scholarly activities must be intensified. The ability of higher education to respond to this challenge will require system modifications and support from society.

Rapporteur: Dennis R. Heldman

Precis # DXXVII

Title: Higher Education Policy-Making in Washington

Speaker: Charles B. Saunders, Director, Office of Governmental Relations, American Council on Education

Seminar: Washington, D. C.

Mr. Saunders briefly discussed the political process in relation to federal funding of higher education. He outlined the roles of the Congressional authorization and appropriation committees, the OMB, HEW, and the White House Staff. He pointed out that in addition to the appropriation of money, Congress is supposed to exercise oversight over the spending of the appropriations. Unfortunately, this is usually a negative, fault-finding process rather than a positive attempt to assist the program that is being funded. There is a need for rationalization of federal funding. At this time there is no national education policy.

The tension between Congress and the Executive agency which must implement Congressional actions was discussed at some length. The difficulties the enforcing agency faces when the intent of the legislation is not clear were examined.

During the late 1960's the education community lost credibility with Congress. The picture is somewhat brighter now, but there is still a need for educators to deal more effectively with the Congress. The Committee for Full Funding was established to work to reduce the gap between authorization and appropriations in the budget for higher education.

Despite some common interests the education community is not unified in its approach to the federal government. Mr. Saunders foresees a particularly difficult time for higher education because the federal budget for elementary and secondary education has been at a plateau while that of higher education has risen. He expressed a concern that the opposite might now happen.

The American Council on Education acts as a coordinator of the higher education associations, but much of the work with legislators must be done by the individual campus administrators. Particularly useful in this regard is the willingness to keep Congressional representatives informed of the ways in which federal programs help institutions in the representatives' state. In view of the fact that a substantial amount of the higher education budget comes from the federal government, educators need to spend more thought and time on relations between the academy and the government.

Rapporteur: Judith R. Gething

Precis # DXXVIII

Title: Higher Education in Washington: The Perspective of Private Institutions

Speaker: Howard E. Holcomb, Executive Associate for Governmental Relations, Association of American Colleges

Seminar: Washington, D. C.

Howard E. Holcomb began his prospectus on private institutions of higher education by giving a brief history of the Association of American Colleges and the National Council of Independent Colleges and Universities, and by describing the nature of his work as a resource person for federal relations and legislation in these associations.

He focused on the ad hoc Committee for Full Funding [see DXXVII] and explained how this committee, representative of some one hundred organizations, usually sponsors a single package amendment a year to meet the educational needs of that year. He stressed the approach of this committee which decides for itself what is needed, and does not merely divide the limited resources of the proposed Presidential budget. The committee is aware of the work of the Office of Management and Budgeting, but it makes its own judgments and determinations of educational needs after looking at the whole picture of the budget. It must be remembered, however, that the NCICU is recognized in Washington as an association and, therefore, can only make suggestions. It is up to the presidents of the AAC and NCICU member organizations to make direct contact with their respective Congressional leaders. This contact with Congress is not necessary on every issue, but it is especially helpful on three or four key issues a year.

The presidents of the member organizations are also encouraged to participate actively in the AAC and NCICU by attending annual meetings, serving on special strategy committees, keeping informed on policy matters of the Boards of the respective organizations, and by discussing education issues with their Congressmen.

Three aspects of the financial problems that face private higher education were considered. It was suggested that all federally based and financially supported student aid programs must generate awards to particular students based on the price of the institution of each student's choice. Historically, it was noted, that President Roosevelt's GI Bill had this tuition variable so that a veteran received a living allowance and tuition monies proportionate to what he was charged by the institution of his choice. Since the Korean War, at which time the GI Bill was reauthorized, the veteran receives a monthly payment from which he/she must budget tuition and living expenses. In effect, this equalized monthly allocation has cut enrollments of veterans in private institutions, since the basic amount of money best covers the expenses at cheaper two-year public institutions.

Rapporteur: Sr. Matthew Anita MacDonald

Precix # DXXIX

Title: Higher Education in Washington: The Perspective of Public Institutions

Speaker: Jerold Roschwalb, Director, Office of Governmental Relations, National Association of State Universities and Land-Grant Colleges

Seminar: Washington, D. C.

Mr. Roschwalb began his presentation by discussing his role in Washington and his involvement with higher education. As the Director of Governmental Relations for NASULC, he represents approximately 130 institutions which enroll some 35 percent of all students in higher education. His dealings take place primarily with staffs of Congressional committees and his operations are concerned mainly with "putting out fires," which does not leave much time for long-range planning. To quote him directly, "If it happens in this town - on the hill-downtown-with the courts-with the press - and if it may affect the welfare of my members, I am supposed to know about it, keep my members informed, and through them see that the good is enhanced and the bad prevented."

The second segment of his talk consisted of serious concerns Mr. Roschwalb had concerning higher education. Primarily, he was concerned about the negative impact that the higher education establishment appears to have developed in Congress. Our national legislators appear to believe that universities and colleges have failed in a great many ways - that these institutions are not properly teaching people to read and write; that they are training people for jobs that do not exist; and that they are not training people for jobs that do exist. The total functional suitability of higher education is under severe attack in Congress, and Mr. Roschwalb places a large part of the blame for the lack of communication and misunderstanding directly on the higher education establishment; i.e., its associations and individual institutional members. This negative attitude toward higher education must be corrected and, according to Mr. Roschwalb, there must be more involvement of institutions in communicating properly their mission to members of Congress and government officials.

A second concern expressed was that of the problem of balancing private and public education in order to have a pluralistic system of education in the United States. Mr. Roschwalb made a plea for public support of private higher education, indicating that the private institutions must be saved and the question of how is an extremely important one for higher education.

The third concern revolved around a discussion of privacy and led to an exchange of views on the Buckley Amendment.

During the question and answer session, Mr. Roschwalb continued to press his concerns regarding the lack of foresignt of higher education in anticipating problems and developing solutions that would avoid bureaucratic involvement by the government and the negative reactions by government authorities toward higher education. He did not, however, "hold the higher education community or individual institutions wholly responsible for failing to take action which would prevent bureaucratic involvement by the government.... He felt that the federal government inadvertently in many instances and, maliciously in others, has

created a whole series of regulations and practices which are incursions upon the necessary autonomy of institutions of higher education." As examples of a lack of understanding, Mr. Roschwalb discussed affirmative action and collective bargaining and OSHA. In response to questions about affirmative action, he pointed out the problem of complexity of various agencies with contradictory regulations - contradictory regulations which could have been avoided with adequate input from higher education. The questions regarding collective bargaining and OSHA were mainly analytical in the sense of describing his role in motivating *institutions to fight for advantageous legislation.*

Rapporteur: Joseph F. Fink

Precis # DXXX

Title: Higher Education in Washington: Perspective of the Department of Health, Education, and Welfare

Speaker: Peter P. Muirhead, Director, ERIC Clearinghouse on Higher Education

Seminar: Washington, D. C.

A. Perspective
"Perspective is cloudy" because Education is a small portion of DHEW operation: $90 billion budget - total versus $2 billion - higher education's portion. The Office of Education has undergone several reorganizations. The role of federal government in higher education is emerging slowly. Education amendments of 1972 are currently being revised and rewritten. In 1958 the Office of Education budget was $40 million. The NDEA was passed and this marked the beginning of reforms in higher education. Terms such as "accountability," "external" degrees, "postsecondary" education, etc. began to be used. In 1975, the Office of Education budget is $2.3 billion and there has been a great increase in institutions participating in federal programs (2,100 to 8,400). The time may have come for the Office of Education to be a separate entity.

B. Emerging Federal Education Priorities include: (1) equal educational opportunity; (2) new research thrust - NIE (<0.1% of federal money for education spent on research); (3) institutional renewal (Fund for Improvement of Postsecondary Education and the 1202 Commissions); (4) stronger federal/state relations; and (5) an end to discrimination.

C. Six major educational reports (Neuman, etc.) have been released recently. These reports offer intensive and extensive scrutiny of higher education in the United States. Basic concepts which have emerged from these reports include: (1) need for increased efficiency (accountability); (2) state-wide planning (postsecondary education commissions are needed); (3) extend educational opportunity (student aid or institutional aid or combination of both, an overriding and unfulfilled commitment); (4) implications of lowered age of majority; and (5) public vs. private support for public and private higher education. Federal funds can and should be used to support the public good - whether through public or private educational institutions.

D. Discussion

1. The ERIC Clearinghouse on Higher Education gathers literature on higher education, then organizes and publishes and summarizes the results monthly. It brings together information relating to major critical issues in higher education.

2. Many current problems are "post-Golden Era" effects - critical review of massive programs created during the 1960's. After shakeout, new vibrant revised programs will emerge. NDEA funds contributed to current excess of Ph.D.'s, although it is not advisable to cut off all funds because they are difficult to restart.

3. National Council of Graduate Schools has urged that a national network of graduate schools be supported because it is in the "national interest" rather than in the "state interest." Next likely program in this area is support for graduate education of minorities.

4. Federal financial support should include scholarships to allow basic opportunity to attend a good school. Also, a student can take out loans to provide extra funds to attend high-cost institutions of the student's choice.

5. Institutions must adapt to changes in educational market in future years: fewer traditional students vs. more nontraditional students. Significant assistance can be provided by the 1202 Commissions to coordinate public and private educational growth and development.

Rapporteur: Kenneth E. Wing

Precis # DXXXI

Title: An Academic Administrator Comes to Washington

Speaker: Virginia Y. Trotter, Assistant Secretary for Education, Department of Health, Education, and Welfare

Seminar: Washington, D. C.

How does a solid academic administrator feel after a baptism in Washington's bureaucratic maze? How does one cope with the unnerving frustrations caused by the morass of paper, people and projects and the seemingly turtle-like movements towards accomplishment? These questions and others were addressed by Dr. Virginia Y. Trotter.

It would certainly be normal to assume that academic administration has many universal characteristics and that administrative practice could be transferred from the university to the Capitol, but this illusion was quickly shattered for Dr. Trotter. As Vice Chancellor for Academic Affairs she had been accustomed to making her own decisions, but suddenly she was confronted by the committee structure, the procedural intricacies and the successive transformation of original documents. As each one passes from HEW to OMB to the White House and to Congress, its final form is barely recognizable.

This process would lead one to believe that Washington is filled with bureaucrats, pettyness, and impersonality, but Dr. Trotter assured her audience that such was not the case. Indeed, she stressed the point that the bureaucracy was made up of dedicated people who care, and who make possible what otherwise could not be accomplished. These people, she emphasized, are sensitive to issues, and in addition they give unstintingly of their time.

The functions of her own office are numerous, but Dr. Trotter's first and foremost duty is to appear before Congress as a witness at the presentation of any programs. Regardless of time or date a Congressional call takes precedence over all! The offices of OE and NIE testify on details, but the Assistant Secretary must have the overview of all programs. Dr. Trotter's second major responsibility is to represent the Educational Division to the Secretary of HEW, and as a daily eye-opener all of the division heads meet at 8:00 a.m. A third duty consists of speaking to and in meeting with various educational organizations, a time-consuming, but extremely important task.

On the subject of budget, Dr. Trotter wanted to disabuse the group of any possible misconceptions concerning appropriation and authorization. The budget committee appropriates or approves the amount of money to be spent on authorizing legislation, and the authorizing committee authorizes or indicates what, in general, will be funded, but not at what level. Authorization does not mean funding, and even when the legislation is passed there is a lapse of at least six months before any spending takes place. No money goes out before the regulations are drawn up, indicating in detail how the funds are to be spent and what evaluation procedures will be used. This process is complicated by the fact that the "regs," as they are called in D. C. jargon, must be written in conformity with the language of the law. Upon completion the "regs" are sent to Congress which has 45 days to approve or disapprove. It is widely recognized that the process is too lengthy, and the National Institute of Educational Statistics is trying to get data on more timely basis so as to speed up all operations, but the undertaking is monumental.

Looking to the future, Dr. Trotter was optimistic, but stressed responsibility and the necessity to articulate the nature and advantages of research in education. As educators and academic administrators, we are no longer in the position of asking and receiving. A hard look at priorities is the order of the day, and institutional cooperation is going to be essential, particularly in the areas of graduate study and specialized programs.

Dr. Trotter indicated that economic restraints and the demand for greater accountability are not necessarily hindrances to education in this country. The surge of growth in the 1960's encouraged the initiation of numerous programs, but quality control was difficult to maintain. Now, however, we have the opportunity to emphasize quality and to do the best job possible. It is up to us in the final analysis to convince the people in their terms, as well as in our own, that we are doing just that.

The federal role in higher education is often misunderstood. Primarily it is concerned with student aid programs and does very little with institutional aid. There is, of course, the Fund for Postsecondary Education and NIE, but the bulk of the money for higher education is in the form of direct aid.

The Education division of the HEW has as its function the support and implementation of administrative policies once they are set. Dr. Trotter's own job is to see that her office does everything possible for education, and within that framework to try and achieve the greatest good for the greatest number.

Rapporteur: Patricia J. Siegel

Precis # DXXXII

Title: The Politics of Colorado Postsecondary Education

Speaker: Richard R. Bond, President, University of Northern Colorado

Seminar: Boulder, Colorado

Dr. Bond began by tracing the historical development of the postsecondary educational institutions in Colorado. Specific attention was given to the University of Colorado, Colorado State University, Colorado School of Mines, University of Northern Colorado, several state colleges, and the community colleges. The University of Colorado now has four branches - Boulder, Denver, Colorado Springs, and the medical school in Denver. The University of Northern Colorado in Greeley, formerly the Colorado State College of Education, is now a university offering broad liberal arts and career programs at the undergraduate level. Graduate work is concentrated in education and teacher preparation. The University of Colorado in Boulder is a comprehensive university with heavy emphasis on research. Colorado State University in Fort Collins is the land-grant institution in Colorado, and offers undergraduate and graduate programs in the traditional land-grant areas. Formerly known as Colorado A & M, CSU has grown rapidly during the past decade. Colorado School of Mines in Golden specializes in minerals and energy and continues to be one of the outstanding schools of its type in the United States. The private institutions in Colorado (University of Denver, Colorado College, Colorado Women's College, Regis College, etc.) have traditionally cooperated well with the public institutions. Governing boards in Colorado public postsecondary education are usually responsible for two or more institutions. Board members are appointed by the Governor, except in the case of the University of Colorado where board members are elected.

During the decade of the 1960's, rapid growth in the educational sector focused attention on the need for a coordinating body. The Colorado Commission on Higher Education (CCHE) was created to review and make recommendations on educational programs and budget requests and to coordinate the budget for continuing education programs. The CCHE deals only with public institutions and its members are appointed by the Governor. It reports to the Legislative Joint Budget Committee (JBC) which is composed of 3 Senators and 3 Representatives. The JBC has historically been a very powerful committee in Colorado, and its recommendations are usually adopted. It is concerned both with budget requests and review of variances in current and prior budgets. Strict controls are exerted on all line items in the budget. The JBC is also concerned with the enrollment ceiling currently in effect at CU, CSU, and UNC. The ceiling was imposed to redirect students from these rapidly growing institutions to other public institutions in Colorado that had the capacity to absorb additional students.

In his concluding statements, Dr. Bond described the development of the new Auraria campus in Denver. A building complex being constructed in an urban renewal project in Denver will have two-year, four-year, and graduate programs offered by CU-Denver, the Community College of Denver, and Metropolitan State College. This is a unique development in U. S. higher education, and is being watched closely. Dr. Bond also stressed the need for university administrators to obtain certain skills in politics by working closely with state committees, elected political figures, and planning and coordinating boards. A final statement concerned the need of college and university presidents to think in larger terms than just their own campuses.

Rapporteur: Kenneth E. Wing

E. Special Topics

Precis # EXXXIII

Title: Speculations on Higher Education's Future

Speaker: Morris T. Keeton, Vice President and Provost, Antioch College

Seminar: Washington, D. C.

Mr. Keeton opened with an account of the basic factors of change affecting American higher education. He sketched out the external forces first: among them, a long-range trend toward a greater degree of equality, evidenced by the women's movement, the changing relationships between young people and their parents, and the growing autonomy of individuals as against social groups, and the movement of subcultures - ethnic and other - toward greater autonomy and freedom within American society. He sees these forces in tension with others: there are continued pressures toward exploitation of resources - the economy and the environment. There is a continuing tension between a drive for equitable distribution of wages and the inequitable system of profit.

Another major change cited by Keeton is the genuine growth in knowledge and in knowledge of how people learn. There is a growing knowledge, furthermore, of how to measure what we learn.

These major social currents create certain pressures and tensions - between the public right to know and privacy, between the advancement of the public interest and the preservation of rights and privileges of individuals and groups. We are, in Keeton's view, moving toward a more controlled society as a result of greater complexity, greater personal freedom, greater equity and demands for a more rewarding life. This, in his view, is a recipe for turmoil in the larger world.

If the external changes have been rapid, the internal responses of higher education have been sluggish. Keeton explored several areas to illustrate this:

1. The fate of academic freedom. The idea of ordinary tenure has come under severe attack. One alternative is to abolish the tenure system. Another is to retain it. A third is the Antioch system of tenure considered as a limited term. We are, in his view, moving toward a more and more complex definition of tenure. In his view, academic freedom should be protected p_or to tenure by the force of law.

2. The realm of fiscal accountability. Keeton believes that public education has engaged in something amounting to fraud, in its misrepresentation of the actual cost of public education. Capital costs, for example, are not included in the reckoning. There is, then, not a full-cost pricing in public education. This puts private education at a disadvantage, and it ought to be remedied. But there are larger problems facing both public and private education. Other services in society are competing with higher education and since higher education now claims a declining percentage of the gross national product, we can assume that in the public mind (as reflected in Congress), the high priority assigned to it during the late 50's and 60's no longer obtains. In the coming years, controls are going to tighten and higher education must become more accountable.

3. There must be a more diverse mix in the student body. Education should not be packed into the front of a person's life exclusively, but spread out over the whole of life. In this way, higher education may be made available to a larger and more diverse group of people in society.

Keeton also discussed the future of nontraditional education, drawing on his experiences at Antioch, and predicted that as a result of the interplay between external changes in society and the sluggish internal responses of most institutions of higher learning there will be a steady trend toward nontraditional education. "There's going to come a time when the nontraditional shall be traditional." Keeton looks forward to this with enthusiasm, but feels that as we move toward nontraditional education, we need to develop quality control without submitting to authoritarianism.

Rapporteur: Peter Clecak

Precis # EXXXIV

Title: Legal Issues in Postsecondary Education

Speakers: Charles L. Haslam, University Counsel, Duke University
James J. Costello, University Counsel, University of Illinois

Seminar: Saint Louis, Missouri

Transformation in the self-governing characteristics of campuses has occurred since 1961. The trend toward judicial restraint and day-to-day concern with legal implications of academic policy are now an established component in academic administrative functions.

The areas of influence which have contributed to eroding the self-contained governance of educational institutions include: (1) interpretation of federal constitutional law, particularly in view of civil rights legislation and application of the first and fourteenth amendments; (2) total application of federal regulations to campuses since 1964; (campuses are no longer exempt from concern with activities such as: labor relations and collective bargaining, affirmative action, and increased federal role in accreditation processes, particularly in relation to federal funding); (3) increased tendency to litigate; and (4) basic change in financing of education (this change includes: erosion of the financial base, attack on charitable contributions, and withdrawal of normal sanction with federal funding).

Since legal issues are a continuing concern, varying patterns have evolved for delivery of legal services:

1. The attorney general is often the chief legal officer for university systems.

2. In Eastern colleges, there is often outside assistance without day-to-day involvement in decision-making.

3. In some states, such as Illinois, legal counsel is available at the campus level.

4. A centralized state service featuring visits of counsel to campuses is used in other states. An example of this procedure is California.

The characteristics of legal practice in colleges and universities include: general practice (contracts, tax laws, and copyrights), preventive law, assistance with court intervention, and legislative action.

Rapporteur: Elizabeth J. Lundgren

Precis # EXXXV

Title: Collective Bargaining in Postsecondary Education

Speakers: Kenneth Mortimer, Associate Professor of Education and Research, Center for the Study of Higher Education, The Pennsylvania State University
Neil Bucklew, Vice President, Central Michigan University

Seminar: Saint Louis, Missouri

Dr. Mortimer discussed the conditions under which collective bargaining in the postsecondary education can take place. First, there must be some type of enabling legislation, generally omnibus legislation covering all public employees in a given state, establishing a neutral public board to administer the law. Second, one or more bargaining agents petition the governing body of a given institution seeking recognition as sole bargaining agent. Third, there are negotiations to determine the exact nature of the potential bargaining unit. Particular issues often considered are whether or not department chairmen are a part of the unit, and what constitutes the "community of interest." An election then follows.

Dr. Bucklew stressed that an institutional philosophy of bargaining is an important and early step, especially since collective bargaining is a two-party system. He described three main patterns, actually three types of contracts resulting from collective bargaining: (1) Comprehensive - a very broad range of negotiable items, from salaries, fringe benefits, and personnel policy, to class size and governance (examples: Rhode Island, The Pennsylvania State Colleges, Saginaw Valley); (2) Structural or Constitutional - in this type of bargaining, most of the items are the same as those in comprehensive bargaining, but those dealing with governance or personnel policy (tenure, promotion) are acknowledged as being dealt with in existing institutional structures (examples: the Massachusetts State Colleges); and (3) Employment bargaining recognizes that faculty

members are both employees and professionals (it touches only such items as are related to a faculty member's employment conditions, leaving other items such as governance, tenure, and promotion)(examples: Central Michigan University, Rutgers).

In the question period that followed, Drs. Bucklew and Mortimer mentioned the Academic Collective Bargaining Information Service and a reference work, Collective Bargaining in Postsecondary Education Institutions, published by the Education Commission of the States, Denver.

Other questions discussed were composition of the bargaining unit, the preparation and composition of the bargaining teams, and whether it is possible for an institution to recoup what it has once signed over in a bargaining situation.

Rapporteur: Mary A. Seeger

Precis # EXXXVI

Title: More on Collective Bargaining

Speaker Thomas A. Emmet, Jr., Special Assistant to President, Regis College (Denver)

Seminar: Boulder, Colorado

Assertions:

1. Approximately 65% of all postsecondary faculties will be under collective bargaining by 1980:
   - presently 20% are under collective bargaining (17% in public institutions)
   - approximately 40%-42% of the total public sector labor force is in collective bargaining via NLRB
   - since 1966 approximately 350+ institutions have come under contract or are in the process of holding elections
   - several states are considering statewide collective bargaining
   - collective bargaining is not going to fold up and go away, but rather a "whipsaw" effect will influence other schools to adopt collective bargaining
   - state-by-state legislation and federal legislation will generate more collective bargaining.

2. Under collective bargaining, management must realize that the union has the right to be at the bargaining table. Faculty must realize that they will have to come under union discipline if they adopt a union.

3. Collective bargaining is not really an adversarial process. It is actually a conservative process involving management and labor.

4. The best contract is one which both sides don't like.

Discussion:

With respect to collective bargaining, there are few differences between private and public institutions, but there are some differences as to the type of institution which will adopt bargaining. Approximately 100% of the community colleges could be organized while research universities such as the University of California at Berkeley may be loathe to embrace collective bargaining. A consequence may be a "leveling effect" which will tend to minimize differences between institutions. State agencies may become involved during negotiations in back-up positions, but state legislative or executive personnel should not be at the bargaining table as a general rule. Some states have already had some difficulty making statewide bargaining effective, and we can expect more problems.

The process of bargaining sharpens management skills. Administrators are caught in the middle because the public and student body have an interest in bargaining, while the administration must perform accountably for the governing board. The administrative bargaining team should consist of the few individuals who actually bargain, supported by a more broadly based management group which determines policy. The student role in bargaining may eventually be one involving student unions - a rather extreme position.

The individual unions prominent in postsecondary education collective bargaining may be characterized somewhat differently. Those associated with NEA appear to be interested in economic conditions and political power - AAUP groups are much more willing to restrict some of the bargaining while protecting faculty senates, etc., while AFT affiliates are more willing to get into the harder line labor management relations (picket lines, etc.). At the present time, no union has been decertified, although there have been some changes in bargaining agents.

Rapporteur: Robert E. Kohrman

Precis # EXXXVII

Title: Postsecondary Education at the Education Commission of the States

Speaker: Richard Millard, Director, Higher Education Services, Education Commission of the States

Seminar: Boulder, Colorado

Dr. Millard's presentation centered on the Education Commission of the States (ECS), its background, purposes, membership, and governance.

In 1964, James B. Conant, President Emeritus of Harvard University, provided the vision and Terry Sanford, former governor of North Carolina, furnished the leadership that brought the Education Commission of the States into being. The general purpose of ECS is to promote all levels of education - public and private. The specific purposes are to provide a forum to bring education and community together and to provide a clearinghouse among states to consider policy, to strengthen education in the states, and to make sure the states' point of view gets a reasonable national hearing.

Membership in the Commission is by executive legislation. The legislature of each ECS member state adopts the Compact, an agreement between the states, and an enabling act, the instrument by which each state puts the agreement into effect. The Compact must be adopted in its identical form by every state. ECS is an interstate organization composed of forty-five states, Puerto Rico, and the Virgin Islands.

The Commission membership from each member state consists of seven representatives - the Governor, two Legislators (one from each house), and four others from the education and lay communities. Each state pays dues based on state size, school population, and other factors.

The Commission as a whole meets annually and must approve major policy decisions. The governing board between meetings of the Commission is the Steering Committee. The Committee includes one member from each member state, one-half of which are elected annually from the entire Commission.

Among the issues identified as major policy concerns in postsecondary education by the Commission have been: (1) student assistance, (2) community colleges, (3) comprehensive statewide plannnng, and (4) vocational education. In the area of policy formation, the task force approach is frequently used. The Commission appoints a task force to report on an issue. The report is presented to the Steering Committee to be reviewed and then adopted. The Steering Committee has the power to approve policy that does not conflict with the Compact. All major policy changes are taken to the Commission. The Commission accepts any grant without strings attached, thus there are no problems with these reports becoming policy.

Some future major policy areas for the Commission are: (1) medical education and the allied health professions; (2) types of aid to private education; (3) the relationship of educational units in the states; and (4) financing postsecondary education (new approaches to forms and types of budgeting).

Rapporteur: Carmyn H. Morrow

Precis # EXXXVIII

Title: Western Interstate Commission for Higher Education

Speaker: Robert H. Kroepsch, Executive Director, WICHE

Seminar: Boulder, Colorado

Dr. Kroepsch opened his discussion with an historical review of interstate compacts, the earliest of which predate the Declaration of Independence. Sixty to seventy compacts now exist, covering such diverse concerns as river basins, water rights, bridges, oil rights, and education. The Port of New York Authority is perhaps the largest and most powerful commission, with several thousand employees.

The first higher education compact, the Southern Regional Education Board, was created in 1948 out of concern for the financial plight of private, predominantly black medical colleges (Meharry, Howard, etc.). WICHE (1951) and the

New England Board of Higher Education (1955) were patterned after SREB. The interstate exchange of students was the principal reason for establishing WICHE, and the successful accomplishment of this task led to the acceptance and additional support for WICHE programs by the thirteen participating states.

The student exchange program continues to be the best-known and most appreciated WICHE product. Professional schools located in certain states accept students from states with no professional programs. All exchange programs involve both public and private institutions.

The commission has interpreted its charge liberally, concentrating its efforts on programs which concern Western states. It exercises no control or authority over any institution or state. New programs, therefore, require nearly unanimous consent of the commissioners in order to be implemented successfully.

WICHE objectives include: (1) improve the quality of education beyond high school; (2) expand educational opportunities, including those in continuing education; (3) coordinate and expand interstate and inter-institutional cooperative programs; (4) help institutions of higher education improve both academic administration and institutional management; (5) assist the education community in an appraisal of and in a response to the changing needs of the West; and (6) raise the public level of understanding of the role of higher education.

In the discussion period, the NCHEMS concept of comparability of data between institutions was questioned. Dr. Kroepsch recognized the validity of some of these complaints, but insisted that comparability a la NCHEMS, or its equivalent, was the "wave of the future," and prospective administrators should be aware of the concept and become knowledgeable users of management systems. Human judgment continues to be important in higher education administration; systems merely provide more adequate data to support good judgments.

Rapporteur: Dennis J. Kelsh

Precis # EIXL

Title: State Coordinating Agencies

Speaker: Warren Hill, Project Director, Inservice Education Programs, ECS

Seminar: Boulder, Colorado

Query: Why were state coordinating agencies formed originally? The agencies are a post-World War II phenomena which came about as a result of several factors: size and cost of higher education; legislatures looking for relief from the many competing demands for funds and needing a non-partisan agent to speak to the demands; need for statewide planning in area of higher education; and demand of state colleges to diminish the powerful role of boards of higher education. Thus, the 1202 Commissions resulted.

Query: What, specifically, was the 1202 Commission supposed to do? The Commission was to perform certain functions: maximize postsecondary educational opportunities for all state residents; provide recommendations on how to obtain a

maximum return of the state's investments and resources in postsecondary education; coordinate planning of all facets of postsecondary institutions; assess needs and resources; ensure the quality of all programs of postsecondary education; and analyze and recommend priorities to the governor of the state.

In general, the agency was to be the interface between the governor, the legislature, and the institutions. Further, it was to be a catalytic agent, to provide encouragement for cooperation rather than competition, and to offer visibility to programs and goals of postsecondary education within the state.

Rapporteur: Nan Van Gieson

Precis # EXL

Title: Financing at the University of Colorado

Speaker: J. Russell Nelson, Executive Vice President and Vice President for Administration, University of Colorado

Seminar: Boulder, Colorado

Dr. Nelson began his presentation by defining his perception of the finance function at Colorado as not only the acquisition, allocation and expenditure of monies, but also the accountability for and the reporting of resource development and use to the Board of Regents at the University of Colorado. He feels that the finance function is the medium through which the University is accountable to the public.

Dr. Nelson then described the organizational structure of the University of Colorado and its relationship to the general public and to the state offices and commissions. The Colorado Commission on Higher Education (CCHE) reviews the University's budget request and subsequently makes recommendations to the Joint Budget Committee. The CCHE may not approve capital expenditures unless the campus has an "approved" master plan. The State Office of Planning and Budget is charged with budget management and is responsible for releasing funds to the University. It reports directly to the Governor. The Department of Administration has authority in three main areas: (1) controller - prepares monthly summaries for all state institutions and agencies; (2) personnel - nonacademic staff at the University are part of State Civil Service, and the State Personnel Board establishes the staff pay scales; and (3) purchasing - initiates specific procedures for the acquisition of equipment and supplies. The legislature operates through the following: (1) Joint Budget Committee (J.B.C.) - this committee conducts budget hearings and writes the legislation concerning higher education. This committee is very powerful and its proposed legislative actions have never been vetoed by either the Governor or the State Legislature during its 100-year existence; and the (2) Legislative Audit Committee - this committee oversees the budget and certifies the financial position of the University at the end of each fiscal year.

The Board of Regents is a constitutional body composed of nine elected persons serving six-year, staggered terms. One regent is elected from each of the state's five congressional districts and the other four are elected on a statewide

basis. The Board provides general supervision of the University and controls and directs the allocation of funds within the University except as specified by law. Four offices report directly to the Board of Regents: (1) the Secretary; (2) the Treasurer - charged with banking relationships and the management of investments; (3) the internal auditors - charged with the evaluation of intra-University operations and the internal auditing; and (4) the financial analyst - charged with the analysis of recommendations from the Joint Budget Committee. As the Vice President of Administration, Dr. Nelson handles all financial matters within the University which are not assigned by law to the Treasurer or to the internal auditors. The Budget Director and University Controller report directly to him. He also reviews the academic master plan and all proposals for new academic programs.

The University of Colorado is unique in the state in that it has its own treasury and has never returned money to the general state fund. The state does, however, have the authority to appropriate money from the University of Colorado treasury; this power has not been exercised. The gross budget in 1974-75 amounts to $186.5 million and the treasury position, $32.9 million.

Working capital at present is only $4 million. Cash flow in and out are not well-synchronized; expenditure is quite uniform throughout the year, while income from the state and from tuition payments is episodic. Therefore, the University often finds it necessary to draw on the working capital. Dr. Nelson described a specific situation involving Colorado General Hospital, which incurred a $3 million deficit in 1974, to illustrate the inadequacy of the level of the present working capital. He believes that restricted funds ($6.6 million) should also be considered working capital, thus bringing the working capital total to $10.6 million.

Dr. Nelson noted that legislative control of higher education in the state has increased considerably during the past few years. Multiple line item budgets impose a high degree of programmatic inflexibility and thus the loss of constitutional autonomy is having a substantial impact on the ability of the University to respond to its environment.

Rapporteur: Molly T. Vogt

Precis # EXLI

Title: Assertive Leadership

Speaker: Patricia Jakubowski-Spector, Associate Professor of Education, University of Missouri-Saint Louis

Seminar: Saint Louis, Missouri

Dr. Jakubowski-Spector explained "assertive leadership," as it pertains particularly, although not exclusively, to women seeking leadership positions. Part of the problem, she indicated, continues to be language. Assertion is often seen as aggression; hence, it is important, indeed useful, to understand the differences between the two behavioral patterns.

Assertive behavior means, simply, standing up for one's rights: the right to have your opinions heard, and to have them respected; the right to refuse

requests as well as to make them; the right to be angry, and even to be proud with your own accomplishments; the right to make mistakes; and the right, or the willingness, to be vulnerable, without compromising your own fundamental beliefs. Assertive behavior is appropriate to the particular situation: it requires the ability to be candid, honest, and direct; most importantly, it requires the healthy respect of those same precise rights in others. Aggression, on the other hand, is the imposition of the "you" or the "other," and the attendant results are fear and suspicion. Morales suffer, and productive face-to-face exchange gives way to behind-the-back manipulation. Aggressive behavior is not without high negative cost.

In her discussion of the skills necessary to proper assertive communication, Dr. Jakubowski-Spector also pointed to three social skills which may be part of assertion: empathy, persuasion, and confrontation. Without the acute awareness of the give-and-take involved in each skill, however, without the moderating objective distance, as well as the subjective consideration, each skill loses its intention: empathy may become self-indulgence, persuasion-imposition, confrontation-attack.

In response to a question on the extent to which assertive behavior is learned, Dr. Jakubowski-Spector indicated that there was a certain natural assertiveness on the part of a child, somewhat lost, however, in the "should not's" and "shoulds" of growing up. Much of the "re-learning" of assertive behavior can come from increased observation of those who are good at it, from increased reading and understanding of the distinctions between assertion and aggression, and from practice. Assertive behavior often requires patient training in the art of gentle firmness, but the rewards are worth the patience as well as the struggle. Integrity and respect are difficult to win, and all too easy to lose.

Rapporteur: Karen C. Chapman

Precis # EXLII

Title: The Academic Department Game

Speaker: Paul E. Torgersen, Dean, College of Engineering,
Virginia Polytechnic Institute and State University

Seminar: Boulder, Colorado

The purpose of the Academic Department Game, held throughout the week-long Boulder seminar, was to structure the important decisions a department chairman must make during the course of an academic year. Through a computer model designed to capture real world situations, the Fellows were asked to make value decisions about such issues as teaching effectiveness, research, and consultation activities. The forty Fellows were divided into ten groups of four, and each group was given a faculty of eight in a department of statistics in a typical land-grant university. The Fellows were asked to make two sets of decisions each year for five years (one prior to the fall semester and one before the spring semester) about such matters as faculty recruitment, promotion, tenure, increments in salary, and class schedules.

For the fall semester decisions, groups were given the following data:

Dean's review	Sponsored research in effect
Positions available	Action by dean on promotion and tenure
Courses taught last spring	Defacto tenure earned
Salary increment awarded	Recruiting results
Years in teaching toward tenure	Summary report
Faculty satisfactions	Number of graduate students

Then, groups were asked to assign courses to faculty and request resumes for vacated positions.

For the pre-spring decisions, Fellows were given the following data:

Resumes received	Number of graduate students
Salary increase monies available	Sponsored research in effect
Courses taught last fall	Defacto tenure warnings
Current salary	

On the basis of this information, Fellows were asked to make decisions on reappointment, promotion and early tenure, salary increases, class schedules, and hiring of new faculty.

Rapporteur: Richard Astro

Precis # EXLIII

Title: After the Age of Literacy

Speaker: Rev. Walter J. Ong, S.J., Professor of English, Saint Louis University

Seminar: Saint Louis, Missouri

Since what is said of the present implies the past, Father Walter Ong developed his presentation by sketching the historical perspective of communication. He began with oral/aural culture, that culture which knows history from an eye witness account or from people close enough to have known such witnesses, and he showed how the introduction of script, a system of communication focused on statement, changed those conditions by allowing for a vision of word. He also noted the relative newness of script for homo sapiens who had been on the earth 500,000 or more years, but who did not have script until 3500 B.C., that is, only since the urbanization of sizable groups of men. It was also noted that since script has made its appearance, the alphabet has been developed only once in the entire world.

Father Ong then focused on the alphabet as a way of reducing sound to a quasi-presence, since of itself sound is not only perishable, but is a perishing thing, for sound exists only as it is going out of existence. Script began in Mesopotamia in 3500 B.C., and the alphabet evolved by 1500 B.C. to be carried around the world by the Phoenicians, but it was truly a slow break from the oral tradition, for not until 1400's A.D. did the alphabetic letterpress appear. This slow break from the oral tradition can also be seen by considering the Greeks who

prized orators skilled in rhetoric, Cicero who spoke his orations before he ever wrote them, and Augustine who thought it worth noting that Ambrose actually read to himself without pronouncing aloud.

The Middle Ages saw the founding of the university, and the establishment of Latin as the accepted language since there were so many European tongues, but the oral tradition remains important through most of the period. While the university dates from this time, papers and written examinations were never required, for it appears not to have occurred to medieval man to test what a person knows by having him write it. Rather, the early university used the polemic technique to fight one's way to knowledge. Logic, physics, theology, and medicine were learned and tested by oral disputations, with the last vestige today being the oral defense of the dissertation. However, the medieval scholar began commenting on texts and codifying knowledge. At about this time, printing was invented, so that by the end of the era, script really came into its own.

Like the alphabet, printing from movable alphabetic type was invented only once. This movable type removed the word still further from the real flow of sound to fix it more rigidly still in space. The dichotomy of print and speech is seen in the divorce of rhetoric from grammar by the seventeenth century. For instance, Peter Ramus spoke of logic as the art of discourse, an art allied to rhetoric and grammar, not something one does by himself. Yet, John Milton sees logic as the art of thinking, something one does by himself. Actually, the sixteenth and seventeenth centuries had writing and speaking confused. Educators were, in principle, training Latin orators, but, in fact, were training students who would become vernacular writers. Still, the humanists made more of writing than any other people.

The index is another trend that print introduced. If there are several copies of the same material in print, with each word in the same place on the page in the same way, then it is profitable to have an index and contents in books, or an index in common places.

By the eighteenth century, "literal" meaning, or meaning from the placement of the letters, became of primary importance, while sound was a sort of ornament. The "elocution" movement was concerned with producing the oral now from the written and the printed word. This trend in communication, however, was simply a microcosm of the post-Newtonian macrocosm, where the ancient "music of the spheres" was replaced by the precision of clockwork.

With the advent of the present electronic world, man is once again pushed into the sound world. He is in a new oral/aural world with electronics. Vision is a fractioning, dissecting sense, but sound comes from all directions at once and situates one in the center. Yet, this new electronic world does not stand alone; it does not wipe out, but reinforces the old while changing it at the same time. Our new age is actually reinforcing print with sound tapes, for we have "talked books" or the printed interview, taped and re-edited so that it will sound spontaneous. Writing remains always artificial, never "natural" as speech is. It has to be worked over carefully to read as speech sounds. Not only does sound (taped) produce more print, but writing and print affect our oral performance, our oral style. Technological man's orality is conspicuously literate. In the jump through intermediate stages from the old oral world to the present, students need discipline of writing and close reading. Without the discipline, it is impossible to live effectively in our electronic culture.

Rapporteur: Sr. Matthew Anita MacDonal